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ABSTRACT

This volume addresses five of the critical areas of school business management: planning, organizational management, personnel management, controlling, and directing. The various chapters describe a variety of techniques and processes for getting people to perform effectively in meeting organizational goals. The first section focuses on planning techniques, and includes the following articles: "Planning and the Budgeting Process," by A. Rodger Wutzl; "Building a School Information System," by L. Edward Allemand; and "Forecasting Management Techniques," by Richard Ewanio. The second section examines educational organizational techniques, with "Schools as Loosely Coupled Systems," by Frank L. Tavano and "The Problems and Promise of Management by Objectives," by Kenneth R. Stevenson and Leonard O. Pellicer. Staffing/Influencing is the topic of the third section, which includes: "People: The Greatest Resource," by Joan M. Lakebrink; "The X, Y, Zs of School Administration," by John J. Lane; and "Alcohol and Other Drugs: Obstacles to Productivity," by James E. Royce. The fourth section is a discussion of controlling and includes two articles: "Quality Circles in Educational Administration," by John J. Lane and "Operations Management Techniques," by Bruce Aldrich. The final section, which focuses on directing, includes "The Management Team: A Positive Domain," by John J. Pedicone and "Team Approaches to School Management and the School Business Manager: Pros and Cons," by John C. Daresh. (CJH)

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Management Techniques for School Districts

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John J. Lane, Ph.D.

Editor

Association of School Business Officials

FOREWORD

Frederick Dembowski

EDUCATION is a labor intensive industry. Approximately seventy percent of school district budgets is allocated to the salaries and fringe benefits of the people that supply the services provided by the school districts. The person responsible for the business operations of the district must necessarily be concerned with the other employees of the district. Ask any school business official how they spend their time, and the answer will likely be that the majority of their working day is involved in dealing with other people in meetings, on the phone, writing letters, etc.

While knowledge of the technical aspects of school business management is essential for the school business official to function, so is knowledge of management techniques in dealing with people. There has been a tendency, however, for many school districts to degrade the position of school business official towards the "head account clerk with many other responsibilities" model, typically with the hope of filling the position with a person with a certain set of technical skills at a lower salary. Although there are many people able to keep a set of books or fill out a purchase order, these people usually do not have the training or background to handle the most important function of such a position, dealing with the people in the organization.

The field of organizational theory and management has made significant progress in the last few decades. Organizational theorists have moved beyond the "contented cow" model. (Do you remember the TV commercial for Carnation Milk in which it was stated that a contented cow gives sweeter milk?) In the 1950' and 60's, social psychologists and organizational theorists promulgated the idea that if you could keep your workers happy, you could increase productivity. While there is something to be said for this approach, organizational theorists have moved forward into other areas of equal or greater importance. The politics of educational organizations has focused attention on the concept and use of power, and the devlopment of coalitions. Economists have contributed the notion that man is not a rational animal and that people react in different circumstances in different ways for different reasons. "Satisficing" became the modus operandi for many managers. For this reason, the one-theory approach to organizational management is not feasible or realistic, and the current manager must have a much wider range of knowledge of organizational and human behavior in order to be effective.

This volume recognizes the vital role of human interaction in the organization and addresses five of the critical areas of school business management: planning, organizational management, personnel management, controlling, and

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directing. Further, the authors of the various chapters describe a wide variety of techniques and processes which may be applied in the appropriate situation. With the possible exception of the chapters on information systems and forecasting methods, all the chapters focus on a particular aspect of the primary responsibility of the educational administrator, how to get people to perform more effectively in meeting organizational goals.

It is important to note the significance of the fact that this book is being published by the Association of School Business Officials of the U.S. and Canada. When one typically thinks about school business management, images of ledgers, computers and boilers usually pop into mind. However, as a member of the management team in a complex organization, the person responsible for the business management operations, the infrastructure of the school district, perhaps more than any other person in the district, needs effective organizational management and communications skills.

Frederick L. Dembowski
Chairperson
ASBO Management Techniques Research Committee

1984

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Introduction

John J. Lane

Planning

PLANNING, organizing, staffing, controlling and directing are the major functions of management. Of these, planning is the central managerial function. It precedes the other managerial functions and determines what organizational goals, policies and procedures will be developed. Planning begins with information gathering and decision making and progresses through evaluation processes that result in new information which, in turn, requires new decisions. Planning is a cyclical process; this critical factor will be emphasized in each of the chapters.

Increasingly, school business administrators are involved with nearly every phase of the school district's long- and short-range planning cycle. Like all managers, school managers must often plan when there is either inadequate or excessive information—too many alternatives. Each situation requires different managerial skills. In the first instance, the administrator needs to know how to gather information; in the second, how to manage information. Finally, the administrator requires the ability to forecast or predict outcomes of the planning and decision-making processes.

Thus, in the first section of the book, Wutzl acknowledges the primacy of planning in the management process and proposes a highly successful model for consideration. In Chapter 2, Allemand writes from the perspective of one who has been there when he describes the difficult task of building an information system. Similarly, in Chapter 3, Ewanio not only describes forecasting techniques which he has developed for his district but offers guidelines for the implementation of these techniques for districts generally.

Organizational Techniques

Once plans have been formulated, organizing interrelates the people and the activities required to accomplish them. Organizing deals with structure and design of the school hierarchy.

Schools have been traditionally perceived as rational bureaucratic organizations. Recently, however, that view has been revised. In particular, the school is now seen as a disconnected or "loosely coupled" system. Not surprisingly, some analysts refer to schools and other human service agencies as organized anarchies. In Chapter 4, Tavano explores the implications of this new way of thinking about schools. Perhaps no management technique has been alternately promised and damned as much as management by objectives (MBO). Manage-

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ment by objectives was designed to provide a formal system of participation within organizations.

In schools, it has been a major means to translate educational goals into measurable objectives. Additionally, MBO has been regarded as a significant way to improve communication among school administrators, teachers and community as well as a major source of motivation for teachers. Recent criticism of MBO and raises the questions: "Has MBO lived up to its promise?" In Chapter 5, Stevenson and Pellicer provide an overview of the origins and purposes of MBO and provide an appraisal of past and present efforts to implement MBO.

Staffing/Influencing

School administrators are interested in the question of how to motivate their staffs. Among the most promising approaches to staff development and motivation is the human resource model which, as Lakebrink indicates in Chapter 6, supports the notion that persons within organizations can simultaneously develop as individuals as they work to achieve the goals of the organization.

Further, in order for human resource development to occur, managers must develop a positive view of their subordinates (Theory Y) as opposed to a negative, distrustful view of them (Theory X). More recently, William Ouchi proposed "Theory Z" which concerns the application of successful Japanese motivational techniques to the typical American organization. In Chapter 7, Lane attempts to show the implication of Theory Z for schools.

No modern management book would be complete without reference to two of society's greatest deterrents to effectiveness and productivity—burnout and alcoholism. As Royce shows in Chapter 8, school personnel are, of course, not immune to either.

Control

Having established goals and objectives in the planning process, the school administrator must then compare those standards with the school's actual accomplishments. Often, in light of these findings, goals are adjusted and new school objectives are targeted.

Control, like other managerial functions, is a continuous process. It requires skills related to the acquisition and treatment of feedback for both proactive and reactive planning. In addition to management of information systems and computer technology already noted as useful managerial tools, several new techniques have been successfully employed in business and human service agencies, including schools, that assist administrators in their control function.

In Chapter 9, Lane describes Quality Circles which combine American-based motivation research with Japanese quality sciences and explores their utility for school districts. In Chapter 10, Aldrich draws upon operations management theory and practice whereby the administrator is viewed as a conflict manager responsible for overall coordination and direction of the school business office functions.

Directing

School administrators are a breed apart. Their work demands high levels of commitment to children and the learning process and equally high levels of skill development in management, human relations and conceptualization. Somehow, in addition to these expectations, school administrators are to be *leaders* who function both independently and as a member of a team in a central office.

Leadership is perhaps the most studied and least understood dimension of organizational life. Most theories of leadership are in reality variations of the *Great Man Theory* which assumes that leaders are born, not made. Other lines of research support the notion that individuals who acquire and develop key, specific traits make better leaders than those without such traits. Recently, research and practice have centered on a *contingency* approach to leadership. Essentially, contingency approaches to leadership argue that as organizational conditions change so also should the administrator's style of leadership. Contingency leadership is sometimes viewed as a theory of followership.

In light of these emerging views of leadership, the authors of the final two chapters, Pedicone and Daresh, explore the advantages and disadvantages that attend team management approaches to school district administration.

Section one

Planning Techniques

1

Planning Budget Techniques

A. Rodger Wutzl

THE complexity of the budgeting process and the importance of establishing a planning process for building and presenting a school budget has only recently become of importance to me. Two years ago I assumed a school superintendency. Last year, I faced my first school budget defeat.

In my prior positions as elementary school principals, I had little involvement with the budgeting process; I contacted the business manager when more monies were needed and he contacted me when I overspent an account. The budgeting process was largely orchestrated by the business manager or so it seemed to me.

Each November, principals received a notice that preliminary budget requests were due before the Christmas recess break. Most principals complied; procrastinators found that the December deadline was not a real deadline as extensions were readily given. We never fully understood who modified the initial budget requests from each principal or why items were modified or deleted. Several months later, we would be given our final operating budget for the ensuing fiscal year.

Currently, I am superintendent of one of the wealthiest school districts in New York State. We are in the enviable position of receiving 75% of our budget revenues from light industry, requiring only 26% to be raised from local taxpayers. My district has had a history of always having their school budgets approved by the taxpayers, although later study revealed that the percentage of voter approval had been on a steady decline for several years.

As a superintendent hired in December, my involvement with the budget process the first year was minimal. Frequent meetings with the school business manager occurred so that I could understand budget items well enough to support (defend) them to the Board of Education and to the public. During my first public budget hearing, some concerns were voiced by residents, but they were easily and quickly addressed by the administration and most members of the Board. The budget was approved although with less of a margin than the previous year.

The following year a similar budget-building process was followed, the school business manager assuming the lead role in gathering data and putting the budget working document together.

When this budget was presented to the public, more concerns and statements of dissatisfaction were expressed by the residents. These concerns fell into two areas:

1) too much money was being spent in some categories.

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2) the popular budget document mailed to residents was confusing and hard to understand.

This last concern led some residents to question the honesty and integrity of the complete budgeting process.

When the budget was brought before the public for a vote, townspeople and school personnel were shocked to learn of its defeat. After much hand wringing, statements of disbelief and lengthly budget meetings, a revised budget was again presented to the public and this time approved.

Later, in July, after working to make sense out of the budget defeat, I felt the necessity of designing a new budget-building process—a new format for the budget-working document used in Board of Education work sessions and a new format for the popular budget mailed to all residents.

The purpose of this chapter is not to convince you to use our plan since it was designed for our unique situation and specific needs. Rather, its purpose is twofold:

1) to argue for the format and characteristics of the plan.
2) to argue that there is a model for developing such a plan.

Format and Characteristics of the Budget-Building Plan & Timeline

The budget-building plan and timeline (see Figure 1) is a month-to-month sequence of interrelated activities, each of which answers the questions: who does what, with whom, when? Task completion dates are listed first and followed by the initials of staff members who have leadership and support responsibilities for each specific task.

Staff Responsibilities—Lead and Support (who, with whom). This plan details a definition of all contributing staff members as they are interrelated from beginning to end. Each staff member not only knows his specific responsibility but also how it affects other staff members as well as the total process. This increases their sense of responsibility for the total plan. In this plan, responsibilities are not assumed; lead and support responsibilities are clearly stated. The *lead person's* initials are listed first and underlined. This lead person is responsible for completing the assigned task on the scheduled date. When a task is preceded by a series of initials or initials and a group's name, i.e., Board of Education, this indicates that the lead person is to assume the leadership role in accomplishing the designated task.

In contrast, this specificity of designating the person and task responsibility for a complete process or plan is quite different from budget-building practices normally followed in school districts. Generally, the budget-building process is directed by one person, the superintendent or the business manager. Each contributing member knows he is part of the process but doesn't know how his part relates to all other parts. Roles are assumed and responsibilities are thought to be implicit.

Steps are written in a concrete manner (what). In this plan, tasks/responsibilities are stated in a clearly defined and measurable manner. Tasks are written in short specific phrases indicating specific decision points. Each phrase begins with an action verb defining the activity or intended outcome.

In contrast, most plans use statements which are vague or ambiguous and often open to a variety of interpretations. Statements such as: "begin working with your staff," or "meet with the BOCES staff," are not uncommon. These statements or directives can lead to frustration and inefficient use of time since those responsible for completing the task sometimes have a different interpretation of what is expected of them.

Real dates assigned which get set in calendars (when). This plan details a chronology of dates for each and all specific tasks making up the complete plan. Tasks having fixed or set dates by state law or state regulations or by accepted past practice of a school district should be identified first and set into the budget timeline. The sequence of tasks and the time necessary to complete each of the remaining tasks should then be established and set into the budget timeline. Each staff member not only knows the timeline for his responsibilities or tasks but also how it affects other staff members as well as the total process. This process makes staff members accountable to each other as well as to the success of the complete plan.

Most plans establish dates for each task, independent of other tasks, and just prior to the deadlines as perceived by the person orchestrating the plan. This approach creates a frenetic atmosphere where people must rush to complete tasks, a situation which often produces undesirable results. Complaints are common in such circumstances and staff members are reluctant to support such a plan.

Model for Developing the Plan

Following our budget defeat, I designed a questionnaire to gather first-hand data on how the residents voted. To gather this information, I asked voters to check one of the following categories:

☐ *Voted For* ☐ *Voted Against* ☐ *Did Not Vote*

To gather information on the rationale of the voters, I listed several assumptions under each voting category and asked residents to check all that were appropriate and accurate. Room was also given for residents to add reasons not listed. This questionnaire was mailed to all residents.

I elicited PTA support to telephone residents and encourage them to complete the questionnaire and return it to school. The PTA work was very successful as the returns were of high quantity and quality.

In July, I met with an educational consultant to analyze these data and draft a budget-building plan and timeline.

Systematically, my assumptions for the budget defeat along with other pertinent data gathered from the questionnaire were analyzed and translated to reasons for change. These reasons were then used to specify recommended changes in: the format of the Board's working-budget document, the format of the popular budget document and the budget-building process.

Reasons for Change	**Specific Recommended Changes**	**Parts to be Changed/ Timeline**

Reasons for Change Parts to be Changed/Timeline

With the data organized in this manner, we began to draft the budget-building plan and timeline. To do this we used the steps outlined in the Private and Public Task Planning Model developed by the educational consultant.

Private and Public Task Planning Model

1. *Write a Task Plan* (See Task Planning Chart)

2. *Test the Task Plan* with those who will be directly involved in implementing it *before* acting on any single part of the Plan. Modify the Plan in response to new information.

3. *Write a "Final" draft* of the Plan and distribute to the people directly involved in it.

4. *Run the Plan*, monitoring its revision and effectiveness.

Write a Task Plan. Using the following Methodology for Writing a Task Plan, we began to construct the Budget Building Plan & Timeline presented in Figure 1.

a) Use the Task Planning Chart, (See Figure 2).

b) Identify the task to be planned and the outcomes.

c) Set a final deadline for completing the task.

d) Estimate the total amount of time available for work on the task.

e) Ask yourself "What is the last thing someone will have to do to bring the task to completion?" Now ask, "How long will this sub-task take to finish?" Insert sub-task and time frame on your chart, backing off of your formal deadline. Continue asking this set of questions and inserting sub-tasks and time frames which back off of the previously defined sub-task until you get stuck.

f) When you get stuck, define a starting time for beginning work on the task and then ask, "What is the first thing someone will have to do to get the work started?" "How long will it take?" Insert the sub-task and time frame. Now, say to yourself, "Assuming that first part is finished who takes the second step?" Insert the second sub-task and time frame and go on to sub-task three, four, etc.

g) When you get stuck again, you should do one of the following:

- Go back and redefine your task definition or outcomes in more specific, concrete, observable and *limited* terms.
- Go back to question and change your final deadline or total amount of time available for the task.
- Stop and ask more fundamental questions. How does this task fit in the larger scheme of things which I want to accomplish? Do I *believe* that this task

Figure 1: BUDGET TIME LINE

NOVEMBER 1983

11-8-83	R.W./LD/NC	Present draft of budget schedule
11-8-83	R.W./LD/JM	Review internal process used last year
		Review, revise & adopt budget framework and plan
11-9-83	R.W. BOE Work Session	React to design for Framework for Budget Building
11-14-83	J.M./RW/LD	Present Internal Process for Teacher Requests
11-15-83	L.D.	Gather Revenue Data for Working Document
11-15-83	J.M.	Send out staff memo to start internal process
11-15-83	J.M.	Schedule Meetings with staff to discuss requests
11-21-83	R.W./LD/JM	Review/Agree to Board Working Document
		Revise: Work Session Agendas Proper Budget Format Public Presentation

January 1984

1-3-84	R.W. Board of Ed. Work Session	Confirm revisions in Bud. Bldg. Process
1-4-84	R.W./JM/LD/L.D.	Decide on staff requests to approve Prepare Budget & Election Calendar
1-9-84	R.W./LD/NC	Compile & Review Bldg. & Grounds Requests
1-16-84	R.W. Board of Ed. Work Session	Discuss Staffing
1-23-84) 1-30-84)	R.W./LD/JM	Assemble working document
	R.W.	Convenes meeting with PTA Exec. Committee to explain Budget Review Sessions-Encourage Attendance & Explain

February 1984

2-6-84	R.W. Board of of Ed. Work Session	Present Instructional Section of Budget
2-15-84	L.D./RW/JM	Present typed draft of Working Docu.
2-17-84	L.D.	Mail draft of Working Budget to Bd.
2-27-84	R.W. Board of Ed. Work Session	Discuss: Revenues Staffing

11-29-83	R.W. BOE Work Session	Present in concrete detail Revisions of Popular Budget Format Revisions of Public Presentations
12-9-83	L.D./RW/JM/NC	Discuss initial requests w/NC Re: Transportation (Plan, Oper. & Mgt.)
12-9-83	J.M.	Staff submit preliminary budget requests to Jim
12-16-83	R.W./JM/LD	Attend Meeting w/BOCES to acquire info. on service contracts.
12-23-83	J.M.	Compile Program Budget Requests
12-23-83	L.D.	Mail draft revisions of 3 areas of change in Building Budget Process to Board Members

March 1984

	R.W.	Convenes PTA Executive Meeting to answer budget questions-agree to involvement procedures
3-6-84	R.W. Board of Ed. Work Session	Present Instruction
3-13-84	R.W. Board of Ed. Work Session	Present Bldg/Grounds/Trans.
3-20-84	R.W. " "	Present Community Use Miscellaneous BOCES Service Requests
3-27-84		Outside date for final decisions by Board on Budget

April 1984

3-27-84	to L.D.	Production of Popular Budget
4-13-84	L.D.	Document for Mailing
4-14-84	L.D.	Mail Popular Budget
4-20-84	Board of Ed.	Public Hearing on Budget

May

5-10-84		Annual District Meeting
5-11-94		Budget Vote

can be accomplished? If not, where are the steps at which the work will break down? Why? Can I build steps into my Plan to address these "breakdown" points?

- Ask yourself, "Does each sub-task in a sequence answer the question: Who does what with whom, when and where?" If not, force yourself to state each step in these terms!
- Ask yourself "Are there steps at the outset for testing the task plan with the parties directly involved in implementation—boss, other department/division/program heads, staff?" If not, insert these steps, asking yourself if you *believe* that these people might be helpful in improving the plan.

h) Continue to "juggle" the relationships between task and outcome definition, final deadline date, total amount of time for accomplishing the task and sub-tasks in a sequence until you have a Plan which feels "right". Then, write a draft of the Plan for presentation and testing with those people who will be directly involved in working on the task.

Planning for the start-to-finish sequence of tasks and interrelationships of who does what with whom and when is central to developing this plan. Stating precisely the purpose and outcome of each task while keeping in mind their interrelationships and reasonable time allotments was a rigorous exercise. I found this phase to be very demanding. It took several days of work to complete a first draft of the budget plan and timeline. Upon completion, I thought the plan to be very helpful and useful to me and my staff.

By contrast, the normal practice for this phase of planning is to work out one piece of a complex process at a time with individuals or subgroups separate from other individuals and subgroups.

Test the Plan. When the first draft of the budget plan and timeline was completed, I presented it at a meeting to all staff members who were part of the plan. First, I explained the rationale for the total plan, hoping all staff would feel it to be a sound concept and a good plan (before we proceeded). Next, I reviewed the appropriate points of involvement assigned to each staff member. Seeing the complete plan definitely helped each staff member gain an understanding as to the importance of his task and the consequence of his task being completed on time.

We discussed, clarified and revised, when necessary, the tasks and dates assigned for the completion of each task. Dates were checked against each staff member's role, the process and past practice as they perceived it. Before final agreement was reached for the dates, I asked each staff member to write his key dates into his calendar. This process generated more date conflicts which had to be resolved.

Using the information gained at this meeting, I revised the total plan (Draft #2).

Following the meeting with the administrative staff, I presented this plan to the Board of Education. First, I extracted and reviewed the points of involvement specifically related to the Board, following the same process as outlined with the administrative staff. Then I presented the total budget plan and timeline to the Board so they could see their part in context with the total plan.

After this meeting, I again made appropriate revisions in the total plan (Draft #3). While this phase of the planning process takes several weeks to complete, it clearly establishes the specific task and the appropriate point of involvement for each and all staff members. It puts all staff members in control of the process, thus maximizing their commitment to the total plan. Each staff member can hold me accountable for my actions and I can hold each staff member accountable for his task completion.

Once again, this phase is quite different from the norm which is for one person to establish a plan and implement it.

Write a "Final" Draft. Following each of my presentations to the administrative staff and Board of Education trustees, I used the information obtained to continuously revise the plan. The third and final draft was then distributed to the Board of Education and administrative staff. The importance of this third draft was to demonstrate to the administrative staff and Board of Education that I had taken their ideas and suggestions into account. This plan now put everyone in a position of being accountable to everyone else.

This contrasts with the normal process in which only one person is aware of the total plan. Staff members responsible for carrying out parts of the plan are not involved in its design. Rather, support and ownership of the plan is the province of one person.

Run the Plan. No plan, regardless of its qualities, will run itself. Our plan provides for clear delegation of responsibility, but one can't and shouldn't assume that all will do their part.

My calendar contained all of the significant involvement dates for each staff member along with key intermediate check points. At these checkpoints, I would meet with individuals to check on progress and assist when necessary. This procedure kept me involved in each part of the process and also helped each staff member complete his task on time.

An organization, by its very definition and purpose, is established to coordinate the talents and efforts of two or more individuals to achieve a common purpose(s). Managing an organization involves achieving organizational objectives and goals with and through other people. The process by which this is accomplished varies greatly, directly affecting the manager's success in his role and the effectiveness and efficiency of the organization.

Between the two managerial extremes of trying to control and direct all operations, delegating little or nothing to your subordinates and the philosophy of hiring the best people and maximizing their freedom to develop their own leadership style arises the need and challenge to develop and carry out a rational plan for setting and achieving organizational goals.

As a manager, it is easy to be overwhelmed with plans—plans for budgeting, plans to review and revise curriculum, plans for personnel matters, etc., etc., etc. It is difficult enough to find the time to read and understand the myriad of plans, let alone find the time to implement any one of them.

The planning model I presented is universal in nature. It is applicable to any and all tasks in an organization. As stated previously, the specific budget building timeline plan I presented was designed to be useful to accomplish a specific task called for in my district at a particular point in time. This specific plan was not designed to achieve your goals with your staff.

The Format and Characteristics of the Plan along with the Methodology for Writing a Task Plan are indeed applicable to you and your specific planning needs and goals.

The steps identified are straightforward and written to be easily understood and followed. The planning phase is rigorous and does take time. I believe the time and energy invested in this phase will be more than offset by the smooth flow of actions and events as the plan is implemented.

2

Building a School Information System

L. Edward Allemand

INFORMATION is remarkably elusive. Sitting at our desks, the answers to our information questions seem simple and straightforward enough. Our questions seem perfectly reasonable—What is our FTE count? How does our local tax base compare with average family income among our students? What are our principal feeder areas or schools? What are our reading score patterns by grade? What is the average teacher compensation compared to years of service?

Too often, our experience is that the answers to these seemingly straightforward questions can be difficult to identify. What is often more exasperating is that compared with the computer support we used just five years ago, the "hardware" which sits in our "computer room" today is often impressive in its potential and thus only heightens our frustration.

Posing a few questions to ourselves may start us on the road to building a useful school information system (SIS). Two questions are immediate and deceptively simple. First, what do I feel that I do *not* know that I would like to know or what are my perceived information gaps? Second, what would I like to know which I feel would make my job more efficient, pleasant, creative and satisfying? The first question may ferret out genuine information gaps and the second may suggest what develops could be happening if we had more information at our disposal.

These two questions give an initial evaluation of our current SIS. Two others will indicate quickly the usefulness of that information. Do I get a lot of "information" that I really don't need? Do I get information in forms that I cannot use?

Information glut has become the bane of existence of the computer-age manager. There is the classic example of the administrator who every term receives a printout of every grade given by every teacher in his/her responsibility in sequential order by course number. If this wasn't too much information, it certainly was not in a useful form. His printouts, for instance, might have been more useful had they captured failing students or consistently over-high graders among the faculty. Another school director received an audit trail of every sale and purchase in the cafeteria. The latter printout could be measured in inches on the director's desk each month.

To be fair, one needs to say that the computer manufacturing corporations have probably led the way in the attempt to help users out of this morass of too much and wrongly formulated information. Although jargonistic, it was their phrase "user-oriented" or "user-directed" and now "user-friendly" that turned

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around the philosophy of data systems building. To be sure, manufacturers saw a way to improve sales ultimately; but they pointed out to us that we would have to "take responsibility" for our own data.

A sense of ownership of our data is an important first step. It is, in fact, fundamental to building any SIS. If we don't now own our data in such a way that it becomes information for us, then we must find ways to do so.

The Difference Between "Data" and "Information"

Textbooks on Management Information Systems make a distinction between "data" and "information." They usually say things like: "Data are the raw material of information." The problem of the director with the printout on cafeteria sales is that she/he had data but not information. *Information* is data in the amount and format which makes it knowledge for decision-making.

We act in several ways. We plan. We make decisions. We carry on operations. We evaluate programs and people. We attempt to control situations and processes. We usually are doing some marketing of our school or district. Information is the "data" in the needed form to do each of these specific and highly essential parts of our job.

Let us be clear about "data." We need it. The test scores, the grades, the dollar amounts in the right columns, the parent attitude survey, the family income profile—all such things must be available to us. But they must be useful to our work. Data is the basis of information but it is not the same as information.

Getting Started on the SIS

A SIS can be of any size. We will presume you are attempting to build one of some size. There should be a general administrative commitment to building a SIS and the administration should know the amount of time and resources available for the study and the installation of the SIS. Planning is essential. We may hesitate to embark on yet another study, but it is important to do so if we are to build a complete SIS. As with so many things, taking the time to do the preliminary, investigatory work is very important.

The Information Officer—A very early decision will be whether to employ an information officer. An information officer, formal or informal, can be a great aid and save administrators time and money, especially money spent on improper decisions. Sometimes, one individual can serve to generate internal, operational information as well as external, planning information. The two positions sometimes have to be separated.

When an organization has committed itself to building a SIS, the choice of the individual to head the study and design requires thorough consideration. Such a person must have intimate knowledge of the internal workings of the organization, possess the respect and confidence of the employees and administration and have some knowledge of building a SIS. Even if one is to use a consulting team, the head of the project should be someone chosen for these reasons.

At first glance, it might seem that this person will have to become involved in learning a great deal about computer hardware or software or take a course in Management Information Systems. This is not the case. The major task will be an analysis of the information environment of the organization. Technical knowledge is less important than skill with people.

Circumstances may thrust us into the position of building an information system. This often happens when a new computer system is being installed. This process is somewhat overwhelming, sometimes harassing in its demands for decisions that have never occurred to us. In a number of cases, it is frightening in its costs and personnel implications. We need to look at this process. In today's schools building, a SIS always involves assessing our electronic data processing system but the process of building a SIS is much bigger than the decisions about the software and certainly about what hardware we are going to buy.

Often enough, one's preparation for building an SIS is a degree in history! In today's computer and information system world, most of us are "retreads"—the discipline is simply too young for many people to have been trained in it. This suggests a very fundamental starting attitude if you are the one who is the likely choice to head the project. You are probably as prepared to build a SIS as anyone. And you *belong* in the process of building an information system. It is, after all, like the oxygen you breathe, the environment in which you work. It is yours, you own it.

The project of building a SIS has two major parts—the preliminary study with its essential interview process and the design and installation of the system itself.

The Study

Interviewing the Personnel—Fortified with an attitude of confidence, we move on to the first, very essential task of the study. This is an interview of the personnel. In essence, you are going to ask the key people (and enough of the not-so-key people) to describe their job and its information needs.

There is a reason why interviewing is the first step. It refers to our very fundamental distinction between data and information. Information is data in the form needed to do our work. We begin with the work of the people involved, whether that is a single office or an entire school district.

Forgive the simplistic sound to this first step. It is very easy to start with the notion that we need new software or a "new computer" or "why don't we get some microcomputers in to do the job?" Information belongs to the workers. No, that is not a political slogan!! It is a way of emphasizing that your first step is an assessment of the tasks of your personnel.

Creating the Atmosphere for the Study—The moment there is wind of a new information system, or "some sort of management study" going on, you will need to employ all your people skills. Often the immediate presumption with this kind of study is that you are about to replace many positions with computers. Fear and anger, perhaps some union concern, may begin. You need to set a tone. Full presentation of the process you are about to initiate, means you explain why the interviews will take place, what will be done with the information gathered and reassurance of confidentiality is mandatory. Try to put the study in a "we are trying to help you" light by emphasizing the fact that you are going to obtain a detailed picture of their information needs and attempt to meet them.

Don't forget that kingdoms are built on a small amount of priviledged information. You will have to design ways to circumvent deliberate withholding of information if you suspect that such is taking place. An atmosphere of openness and calm from the beginning will assist both in allaying fears and discouraging noncooperation. In this interview process, you need to let people feel important, needed and (very important) protected and on neutral territory.

If you are the administrator, you may want to get a personnel peer group to do the interviewing. Mix your group well to include people whom the personnel trust and people that you can count on to get the information study done well. Spend the time to train them both in the interview technique and in the psychology of dealing with attitudes.

If you have done it well, the interview process may start a whole new era in your organization. There may be remarks like, "Well, finally they are going to listen to those of us who have to do the work." People do like to talk about their job: to let them do so is to make them feel important. This is particularly true when so much has become automated.

The Structure of the Interview—You need to set up an interview system with all the people involved. You need to design a set of questions, put together a schedule of interviews that is the least disruptive as possible, virtually write a script for doing the interviewing and recording the results.

Start by designing a set of questions. (A sample set is included under Appendix B.) The set of questions will include some of the questions with which you began. But it is always well to ask the person to describe what they do, what information comes their way and what they do with it. It can be revealing to find their interpretation and understanding of their job and their information supply and needs.

If you have decided to use a team to do the interviewing, set up the structure—a person to chair, who will ask questions, who will pick up missed points, who will record, who will do the write-ups of the interview. How formal this becomes will depend upon the trust atmosphere you have created, how many people can be spared to the project and the special concerns of your organization. Professional software design and application teams and consulting firms, of course, have worked out systems for such interviews. They often make use of four to five interviewers. If the system would not intimidate and you can afford the people, such an approach is very fertile in its ideas, discussion and results. You may decide, however, that this is too expensive in man-hours or a bit too intimidating.

In addition (but not as a substitute for) you may want to design a questionnaire. They are sometimes useful because they allow the interviewee another chance at the questions. If possible, have the interview written up and submit the written results to the interviewee for corrections and additions. Invite them, if they wish, to return for further explanations of their work after reading the write-up.

Consolidate the information you obtain in this interviewing process very carefully. Sift it and cross-reference it. Generally, one makes some extremely revealing discoveries, for example, persons laboring long hours simply because they do not receive a simple set of data or a printout (often already available but they are not on the distribution list!).

Consolidating the Interview Results—Three things should evolve from your interview process on the actual working information needs of your employees: 1) You should get a working knowledge of what each level of the enterprise really needs; 2) you should get some sense of the general information style of your organization and 3) you should begin to understand how effectively your present data meets the goals of your organization. If you are the one to set the goals, you will no doubt begin to intuit how clearer, more long-range or more ambitious goals will be possible as you begin to see your *working* information system emerge.

Do not neglect the managerially telling insight you may gain about the information style of your organization. The style of information handling will tell you a great deal about the real management style which prevails in your organization.

Some organizations are not information democracies. They possess a very structured, "need to know" information style. In such an organization, employees get only the information they need to know in their immediate environment; this despite the fact that nearly every management study reveals that people work better if they see themselves as part of the whole process. The much discussed "Japanese Management System" has reemphasized this simple managerial truth.

Other institutions have the "I heard it at the well" system of information, reminiscent of ancient cultures in which the principal exchange of information took place at the well. Far more than we probably care to admit, hearsay filters into our decision-making. Such a system develops in an organization in which there is not an information democracy.

One should not deduce from these remarks about information styles in organizations that security, confidentiality and timing of information are not important. These are not only legitimate goals of a well-functioning information system, they must be engineered from the start in your building of an SIS. There is, however, a curious fact about such goals. When employees think they are informed and a part of the enterprise, organizations experience fewer problems with security and confidentiality.

Assessing Information Sources—Now that you have a working knowledge of the information needs and actual sources of information in your organization, you now assess possible sources of information for your work.

In the building stage of your SIS, be an idealist. Set the purposes of the various levels of information you seek. Some information helps run the operation. Other information helps us to plan for the future while still other information goes into the policy making of the institution or organization. Some kinds of information contribute to the day-to-day decision-making, while some is only necessary annual information (like budgets, expenditures, attendance records, grade patterns). Some information is internal while some is very important external information for, let's say, marketing the school district or school.

Your survey will have told you much about the needs to suit these purposes. The line-workers will give you their needs for day-to-day operations. Middle managers will often supply the information for the larger annual or periodic assessments since they are often the ones who must prepare the reports. Upper-level decision-makers—superintendents, presidents, principals—will tell you what they need to formulate policy, to plan for the future. Whether you are building a SIS for one school, one office or a whole system, these hierarchical needs will appear.

Once these various levels of workers have given you their information needs, plot the interrelationships of the kinds of information and their possible sources. You should develop a kind of information source map. Plotting such a map will reveal directly the possible sources of information as compared with needs. Some of the lines will connect areas inside your organization, some will lead outside, while others will lead to undeveloped sources.

Some staff members are information sources for other members. Such internal lines of supply of information go in all directions: bottom up, top down, laterally; through channels and without channels (Appendix C supplies a very simple example of an information source map.)

Turning from internal sources, you will discover how many lines lead outside the organization. The people responsible for your marketing will have supplied many of these. In addition, don't neglect (whether you agree or not) the messages you get from the community, the board, the parents, the local businessmen, clergy, civic leaders.

Expect to be somewhat bewildered by a full plotting of these information purposes and sources. A map of it will look somewhat like a fishnet. Such a map is your ideal. Your next task is to return to the information you got from your interview process and compare the sources currently supplying your organization with information with your ideal map. Then you will have to start to lay out your information priorities.

Setting Information Priorities—Setting information priorities will lead you to a formal confrontation with (yes, again!) the mission of your organization and the various subgoals flowing from it. Matching information sources with the "mission" of the organization involves us in a chicken and egg problem. But it is essential for an organization to realize how much its sources of information shape its major planning processes. Institutions and educational areas set their missions based on philosophies, goals set by voters, ideals of founders, realization of local needs—a wide variety of concerns. But these highly idealistic goals get massaged together with the information which the institution or district has about itself. That information goes a long way towards shaping the self-image of the organization. In turn, self-image reshapes and determines major goal-setting.

Now on to the actual construction of your new SIS. You need to install your information flow and regulate its process by making decisions about the design of your SIS.

Designing the SIS

Designing the Information Supply—Start your design by investigating the information supply already being produced. There are, of course, the many documents and studies already being generated within the organization. Every organization produces computerized data printouts of some kind.

The most basic rule for deciding where the internal sources of information will be is the one we have insisted on from the beginning—usefulness, purpose and, in institutional terms, mission. With this criterion, your first task will be pruning useless information from that already produced in your organization.

After pruning your information sources, your next task will be to consolidate them. The typical finding of an information interview process is that more than one place in the institution is producing the same data for its own use, giving it the slightly different twist in format suitable to its local uses. One technique for dealing with this duplication of production is to put the concerned parties together to design a more general, computerized format for the production of data for all.

There is rarely a vacuum of data production. Don't immediately discount anything, even the informal studies done by personnel. Your interview sessions may have unearthed treasures done by manual labor that need only computerization—that list that somebody is keeping or a little informal tally that someone else finds useful.

Before we move on the actual design of a computerized SIS, we need to say just a brief word about external sources of information. Census information, county and city records and federal materials offer a surprising amount of useful material. This is particularly true if you are preparing a needs-analysis for a new program or generating the strategies for marketing. Such materials are indispensable to the planning process.

Designing the Computer Support for the SIS—When people think and talk about a SIS, they often jump to this section before they have thought through the entire system. At this point, you have done several very important things. You have done some self-questioning on the purposes your information will serve. In the interview process, you have carefully assessed needs and current information resources and the quality and formats your future information should have. You have asked what it is that you are not receiving that you would want to have, i.e., you have outlined for yourself what new sources of information need to be generated. You know what you want.

Keep these information goals clearly in mind, especially as you begin to design the computerized sectors of your SIS. The basic rule for all persons installing computerized assistance for a SIS is the same as the basic rule for all persons buying a personal computer. Ask yourself first what you want to do with it. Then look at software possibilities and then and only then (unless someone has already cast the die and the hardware has already been purchased) look at hardware. The whole area of software and hardware purchase can be very confusing if one does not keep the information goals clearly in mind.

This will be the point when information priorities are tested severely. Here is where your SIS begins to translate into money. Here is where some of the tradeoffs begin. The elegant support system for student academic advising may have to be abandoned, for instance, because the time to write the software for it is prohibitive in the number of programming hours. Such painful decisions will be clearer, if not easier, if one's information priorities are clear and if one knows exactly all information sources at one's disposal.

No basic rules can be given for the choice of systems other than the one above. Whether a system, centralized and based on a larger central processing unit, is better than one based on the coordination of several microprocessors, how much of your processing you eventually computerize, whether you bring up software in-house or buy externally produced packages—all is a matter of tradeoffs.

If you are installing a major new, computerized SIS, there are one or two corollaries for central administrators and information officers. People in the business of doing major installations will tell you two things about cost and time of installation.

With tones reminiscent of your mother picking you up after a childhood fall, vendors will reassure you that "you don't have too learn too much about all this." But you as the user must monitor the entire process of installation. This is particularly true if software is be developed out of house. Unfortunately, you will have to learn enough to monitor the project, even though that learning may be haphazard and exasperating in the sheer number of strange new terms you must quickly grasp. However, reassure yourself with the knowledge that there are few long-term experts in this field and your questions are never unimportant.

The second thing to be realistic about is installation cost and time. Even some of the most expertly managed projects, especially if they are complex and involve a considerable centralized installation, take longer than originally projected. Data-processing projects are somewhat like building a major building. There are so many points where delay is possible that it is very difficult to project exactly how long the project will take at the beginning.

IBM has been accustomed to dividing projects into five phases. There is 1) a user-design phase (the interview and design phase as discussed, 2) a system architecture design phase (a very general technical sketching of what the whole system will look like—this is the first meeting of user and technicians and is very unpredictable in its length), 3) actual system construction phase (including the writing of the code—the part done by the systems analysts and programmers), 4) testing and 5) installation with final testing. IBM recommends much time be put in the testing stage, giving it the largest amount of time proportionate to the other phases. However, by the very nature of testing, one does not know until testing how many bugs will appear. Thus, at the beginning of the project the most time-consuming part of the project may be the least predictable. Further, it is not until the actual system construction stage with the writing of the computer code that somewhat hard predictions about the completion time of the project can be given.

The result of all this is that you must plan on some delay. If you are the one responsible for the installation but you must answer to superiors for schedule, make certain they fully understand these conditions. Some people give an accuracy of predictability at the design constructive stage of 80% on time and within cost. There is very little way of knowing whether this is overly pessimistic.

Maintenance and Evaluation

Planning for the maintenance of your SIS appropriately follows hard upon the discussion of the timetable of its design and installation. You need to work out two things here. You first need to decide the responsibilities of your noncomputer personnel (manual processors as the jargon has it). Especially you need to decide about the managing of your system.

Who is going to watch over your system? Again, an information officer, whether so-called or not, is important. Whoever it is, this person must have some real authority and have clear lines of reporting to the major officers. It is essential that this person be on the user side of the system but also have considerable knowledge of its operation. It is well worth the investment to develop such an officer if one is not immediately ready for the position. From the start, the information officer should be involved in the planning of the accountability of your system. He/she should build the evaluation plan with senior officers and with the line workers. Specific tests of whether information goals are being met should be agreed upon in the very design of the system. This is nothing new. It is the incorporation into information management of the principle that we have all used for a long time that evaluation must be built in from the very start of the planning stage.

Maintenance of the system must form a part of the regular schedule of your data processing personnel. If you have a separate data processing department, it will be essential that you develop with them a balance of maintenance and new development time. All the time you spend in the development of your SIS will be lost if its maintenance is neglected because your data-processing "shop" is busy on some new development, for instance, for the alumni organization or the Mothers Club. Likewise, new development for your system, improvements which you are bound to want, will be impossible, if your data-processing personnel are swamped with maintenance.

The Relation of Information Management, Computerization and Personnel

Axiomatic in modern management theory is the precept that the second most important executive decision after personnel is information management and its attendant concerns of computerized data processing. Central administrators will want to put these two concerns together in many ways.

Your new SIS will radically change the operation of your organization. It will mean the retraining of many personnel and result in a new personnel structure, perhaps eliminating some positions, creating and rearranging others. It is this that usually accounts for much of the cost-effectiveness of the system. It will also account for many of the initial fears felt by many in the organization as word leaks out that you are working on this project.

Because a new information system will alter the whole personnel structure, the personnel department will want to work out an appropriate personnel study to complement your new SIS. Along with new computerized systems, new manual systems appropriate to a new information system need planning. You will need to reassure people that you are not engaged in a project aimed at wholesale dismissals. You will want to emphasize the opportunities to learn new and very marketable skills that will come to your personnel as you install your new SIS.

Major administrators will want to think about their organization as one which has entered the post-industrial period in which the very atmosphere that is breathed is information. A whole new environment will occur.

APPENDIX A

Phases in Building the SIS

PREPARATION PHASE

- Securing the Higher Administration Concensus on Objectives
- Choice of a Project Leader, Information Officer
- Selection of the Project Team (if a team project)
- Training of the Project Team

STUDY PHASE

- Interviews
  - Interview Team Planning
  - Setting Up the Interview Schedule
  - Interviews
  - Interview Reports and Review by Interview
- Consolidation of the Interview Results
- Assessing Information Sources
- Making an Information Source Map
- Setting Information Priorities

DESIGN PHASE

- Designing the Information Supply
- Designing the Computer Support for the SIS
  - User System Design
  - System Architecture Design
  - Technical System Development
  - Testing
  - Installation and Final Testing
- Designing the Maintenance and Evaluation Program

THE PERSONNEL PLAN

- Integrating the Computerized and Manual Functions of the SIS
- Preparing a Total Personnel Plan

APPENDIX B

The Interview Process

INTRODUCTIONS

EXPLANATION OF THE PROJECT, INTERVIEW PROCESS TO INTERVIEWEE(S)

EXPLANATION OF THE REPORT-BACK PROCESS

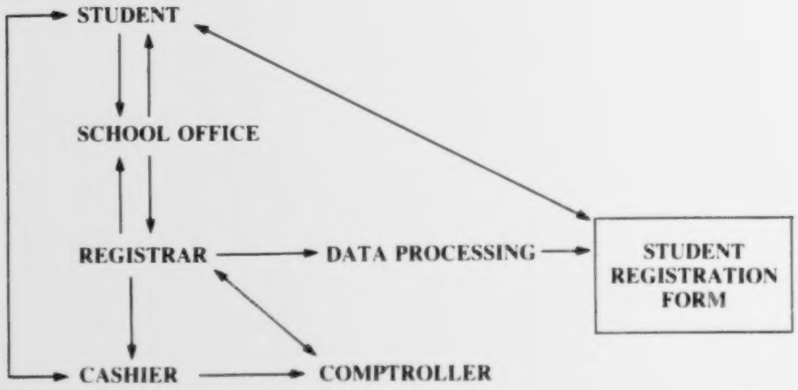
DISCUSSION OF CONFIDENTIALITY

POSSIBLE QUESTIONS

- Briefly describe your job?
- What reports or printout do you currently use in your job?
- What information is necessary to do your job?
- What information do you now receive in computerized form, what information do you generate for yourself in other forms?
- What information is difficult for you to obtain? What are you not getting that you need? What would you like to have?
- What priority do you assign to these pieces of information?
- What other offices must you work with to accomplish your job?
- What information do you produce? Where does it go?
- Do you wish to add anything which you think might be helpful in setting up a SIS

APPENDIX C

A Simple Internal Information Source Map 3


STUDENT
SCHOOL OFFICE
REGISTRAR
DATA PROCESSING
STUDENT REGISTRATION FORM
CASHIER
COMPTROLLER

3

Forecasting Management Techniques

Richard Ewanio

FORECASTING is an art that exploits science in an effort to identify future events or conditions. It incorporates rational planning and analysis of what actions might be taken under a particular set of circumstances. Business administrators often find themselves in a position where they must make a decision in the face of uncertainty. It does not require unusual insight to observe that the future is uncertain. Uncertainty, as will be shown, imposes costs upon the school organization. To the extent that the costs of uncertainty can be reduced by the business administrator, the school operational efficiency and effectiveness will be increased. Also, since decisions made today affect the current and future operations of the district, the use of forecasting is an important managerial tool and guide for decision making and planning.

The quality of decisions is based upon a forecast directly related to the quality of the input data used in the forecasts. A fundamental prerequisite of all forecasting systems is the availability of up-to-the-minute information. The administrator must have the expertise to obtain the data necessary to make usable forecasts. The true exercise of judgement in forecasting is an art; but like most arts, its practice can be improved by study and experience. The forecaster relies heavily upon judgement in trying to narrow the range of uncertainty in which decisions are made. The practical art of forecasting depends in large measure on the business administrator's feel for his subject and his intuition and good judgement along with a firm grasp of the technical aspects of his subject.

Forecasts are characterized by two realities: 1) no forecast is a mandate for the future and 2) all forecasts contain a margin of error. Because of these realities, good forecasts should make note of the margin of error to be expected and include expectations to accept that margin as a reality. If this is so, what good are forecasts? Forecasts provide data or estimates of data where the data are not otherwise available. They help us interpolate between the known and unknown. Forecasts convert an uncertain situation into one of risk. In the forecasting process, a decision maker assigns to each random event his best guess of the "true" probability of the event's occurence. The subjectively determined probability is then used to aid in decision making. Thus, forecasts convert uncertainty into risk. Of course, the decision maker must use his expertise in the acceptance, modification or refusal of the forecast. Deciding what to do with forecast data can often be as tedious and time consuming as the forecasting process itself.

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Forecasting, when used in decision making, involves an internal philosophy that enables the business administrator to remain calm when it appears that the available information used for the forecasting data bases are incomplete or unknown and an external philosophy that is skeptical and inquiring at its foundation, but includes a reasonable faith in properly collected and processed data as potentially rational indicators of future events or conditions. The future is really the composite outcome of such a multitude of factors that, beyond a certain level, the precise computations of the highly trained and expensively equipped add little more than common sense and a more generalized approach to the problem. The point here is to encourage the business administrator to take forecasting seriously and not be intimidated by a lack of formal training or professional credentials. The forecaster's best credential is a demonstrated forecasting accuracy. It is in the business administrator's best interest to forecast on a regular basis. The more continual forecasting one does, the better future forecasts will be.

Forecasting Methods

The methodologies used in any forecast are as important to the accuracy of the results as the reliability and validity of the information and data used in the preparation. The forecasting method, scope, size, and time span, the ability of the forecaster, and the available resources are all aspects that must be considered and weighed as they pertain to the reliability of forecasts.

This chapter on forecasting strategies is posited on four main families of techniques available for use in school business forecasting efforts that can be classified on the basis of the length of the forecast period. The four main families of forecasting are: 1) best guess or expert forecasts; 2) time-series analysis; 3) modeling and simulation techniques and 4) econometric forecasting. The use of these forecasting techniques can be classified according to the length of forecast period: short-range (up to one year), medium-range (one to five years) and long-range (longer than five years).

Short-range forecasts are associated with construction of the annual budget and cash management. It is fiscally prudent that the flow of cash be predicted to take advantage of the investment of idle cash and establish borrowing needs. The annual budget, too, requires forecasting, particularly the projections of revenue streams, including local taxes, state aids, federal aids, earnings on investments, fees to be collected, food service receipts and the like. Certain variables on the expenditure side must also be forecast, including major line items such as energy use, insurance, transportation, equipment, supplies, etc. Also, enrollment and staffing patterns need to be forecast for accurate projection of salaries and benefits.

Medium-range forecasts help business administrators avoid "management by crisis" and inefficient operations. If budgetary problems are anticipated, planning may begin immediately to avert a potential crisis. Emergency cutbacks and tax increases may not become necessary when projected early enough for policy decisions to avert the projected future problem. Medium-range forecasts play a role in policy analysis when the effect of a decision extends beyond the current budget period: e.g., wage negotiations involving multi-year contracts, the fiscal implications of nonrenewal of federal and state grants, the life of capital projects and their operating and maintenance expenses throughout the life of the project, debt service charges, future enrollment and staffing patterns.

Long-range forecasts take into consideration the past and present state of the local, state and federal economies. The population (its size and composition including such characteristics as mobility, age, cultural background and nationality), the income structure, the employment mix, the philosophy of the politicians pertaining to land use, education and taxes are variables used by the business administrator in long-range forecasting. The short-, medium-, and long-range projection periods should not be done in isolation. These forecasts should be updated on an annual basis so complete consideration of different scenarios and their effect upon the school organization can be analyzed by the business administrator on a continual basis.

Selecting the most appropriate method for a forecasting effort is at once a simple straightforward task and a complex and demanding effort. In general, the selection of a method(s) can be based on the following guide lines. The first task is to determine, as best you can, just what the available data represents. The second task is to determine what the different components are that influence the data. Then, if the data appears to be functionally related to or a function of the passage of time, the administrator will use time series analysis. When the data are too obscure and are derived as the output of a complex process, the deterministic method may be used to forecast future states by accelerating the flow of information through a simulation or model. When the data are not clearly time related and exhibit behavioral relationships that contain a theoretical foundation, the econometric method using statistical inference can be used to test whether an observed relationship between variables is, in fact, significant. The last method that can be utilized, separately or in conjunction with other methods, is the best guess or expert forecast.

Best Guess or Expert Forecast— The key ingredient in successful expert forecasting is finding the expert. Often such expertise is gained only through experience; thus, the successful expert forecasters are those who know their own system extremely well and also know where they can go to obtain the necessary information and data. Although the expert may produce reasonably accurate predictions, the lack of a formal technique means that it will be difficult to evaluate why the forecast was correct or incorrect. A precautionary measure the business administrator should take to safeguard the district is the development of a specific contract with the consultant hired to prepare the forecast.

Time-Series Analysis— Time-series analysis is an effort to determine as far in advance and as accurately as possible the future, all based upon past history or the preceding time-series. For certain revenues and expenditures or enrollment development, fairly accurate predictions may be obtained simply by basing projections on the recent past. Techniques based entirely on previous levels of the variable are termed trend techniques. For example, the cohort survival method for enrollment projections is a method that employs the use of an average retention ratio, a percentage measurement of the movement of students from one grade level to another. The average retention ratio is calculated on a specific experience-based period to reflect a trend.

Although time-trend analysis may be useful for deriving quick, relatively short-range forecasts, it will never predict a "turning point." Time-trend analysis will continue to project increases or decreases throughout the projection period regardless of what may actually occur. These problems are often further complicated by the multitude of factors affecting the magnitude of the desired variables. These other factors cannot be taken into consideration in trending techniques but the administrator should be aware of as many factors as possible when he interprets trending results.

Areas suitable for time-series analysis include population studies, local property tax bases development, seasonal and cyclic trend analysis used for economic forecasting . . . in short, anything the quantity or magnitude of which is, or appears to be a function of time.

Modeling and Simulation Techniques— Perhaps the most frequently used forecasting by the business administrator are those under the heading of models and simulations. Models allow an administrator to experiment with objects or systems otherwise too large or unwieldy to deal with. Models allow a person to play the "what if" game. What if we close a school? What if we give salary increases of 6%? What if our tax base decreases by 30% and our enrollment increases by 20%? Through this process, we have the ability to devise winning management strategies.

The most common use of this technique occurs when a revenue or expenditure is established through a preestablished formula. For example, if a school district knows it will get $700 per pupil in state aid, total aid can be determined as the product of the projected future school enrollment times $700. This type of forecasting can also help in determining staffing needs. If it is anticipated that there will be 3000 students in an elementary school district and no more than 30 students can be assigned to a single teacher, then 100 teachers may have to be hired. The technique can be applied further: if analysis of personnel positions shows an average of 20 support personnel for every 100 teachers in a school system, then 20 support personnel would have to be hired in our example.

By constructing a numerical equivalent of the real life situation, a business administrator can rapidly step through the process to determine conditions that satisfy our objectives. Modeling and simulations frequently offer solutions to problems that would otherwise be too tedious to unravel in the time alloted to the task.

The problem with these forecasting methods is that they are simply rough representations of the real thing. Seldom do they contain the level of detail and comprehensive coverage of the real thing necessary to assure that all contingencies are anticipated. For this reason, the assumptions behind the forecasts must be made explicit for careful examination.

Econometric Forecasting— Econometric forecasting allows the business administrator to consider the simultaneous effects of several variables. This type of forecasting is frequently accomplished with the assistance of two statistical operations: correlation and regression analysis. First, a particular variable, that is dependent on one or more independent or causal variables, is hypothesized. Secondly, data are collected for as many past years as is possible pertaining to the variables. The next step is to determine a statistical relationship using least squares linear regression analysis, the dependent variable is specified as a linear function of the independent variables. Least squares regression then finds the unique line passing through these points that minimizes the sum of the squared vertical distances between the line and all observed pairs of values. The slope of the line can be interpreted as the change in the dependent variable associated with each unit change in the independent variable. The same technique can be applied when the relationships between the variables are nonlinear.

Although it is beyond the scope of this chapter to provide much detail concerning regression analysis, there are several aspects of the technique to keep in mind. Regression analysis yields other statistics to judge the final results. For example, the coefficient of determination develops the fit of the observed points to the regression equation and, therefore, suggests a more accurate forecast, and the estimated standard error of the regression coefficient tests whether a particular independent variable is statistically related to the dependent variable. An econometric model bases estimates on behavioral relationships that contain a theoretical foundation that can be evaluated by the user of the forecast.

The business administrator can use correlation and regression analysis when he determines that there is a reliable relationship or correlation between variables. To illustrate, if there is a correlation between the current population of the district and number of students enrolled, future funding projections can be developed. Since the operating costs of the school (salaries, supplies, utilities) are all functions of the number of students, a forecast of the number of students will provide the data necessary for proper funding projections. If the business administrator can project an accurate forecast of the district population far enough in advance, useful budget forecasts are possible.

Econometric forecasting usually requires a person trained in economics and statistics. Furthermore, data collection can be costly since greater quantities of data are needed for regression analysis and the forecaster must be sure that the data is appropriate for the intended use. Although the statistical econometric approach yields results that can be evaluated systematically, it must be emphasized that the forecasts produced may contain potential for error. The equation may be improperly specified; the data used may not be appropriate for the intended use; the estimate can create particular statistical difficulties; and the values of the independent variables used to generate the econometric forecasts may, themselves, be in error.

Given the available techniques for forecasting, the business administrator may find that no single technique is most appropriate. In fact, some combination of techniques is most desirable. Projections that are most sensitive to fluctuations in the local ecomomy are best forecast using statistical techniques. Trend or expert projections may be most applicable to projections that are insensitive to local economic conditions or are so unstable that no underlying causal relationship can be specified. Before undertaking a forecasting project, the various traits of the different methods should be considered carefully as should be the needs of the school district and the cost associated with each method.

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Section Two

Organizational Techniques

4

Schools as Loosely Coupled Systems

Frank L. Tavano

IN contrast to the traditional perception that schools are rational bureaucratic organizations coupled through tight bonds or linkages, it is proposed that educational organizations or systems are tied together by "loosely coupled" patterns, functions, roles and methods. Current literature fails to define "schools as loosely coupled systems" but rather states innumberable examples of what the concept is, is not or could be.

The concept is obviously complex. The professional theorist or researcher must define loosely coupled systems in light of the variables that affect organizational systems, each of which is unique and different in itself.

I will attempt to define a "loosely coupled system" from the viewpoint of the practioner. Elliot Eisner (*Phi Delta Kappa*, March, 1984) suggests that educational research does not necessarily affect educational practice in a prescriptive fashion. However, to debate this point is a treatise in itself. It is necessary to set parameters and limit the scope to the perceptions and experiences of superintendent, business manager, principal or teacher.

With all due respect to the theorists and research segment of the educational community, the following definition is proposed:

> *Schools as loosely coupled systems are educational organizations joined by a common philosophy, financial base, set of policies, regulations and goals; each element within the organization is permitted and encouraged to make contributions toward the attainment of the system goals in a manner most effective for that element.*

Loose coupling is not to be confused with poor supervision and coordination, the absence of policy, regulation and delegation by design. The likelihood of any organization achieving its goals without all of the above is virtually nonexistent. Those in authority must exercise leadership roles for the attainment of meaningful results; they must act—not react; they must be informed through open channels of communication that state how and why each element within the organization is functioning. Though the component parts may be separate or independent, all must be answerable to the central coordinating team—those who have and exercise authority.

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Advantages of Coupling

To those unfamiliar with organizational theory, it might appear that "tight" autocratic organizations are the most effective. (More will be said of this subject later in the chapter.) Results and practice have agreed that organizations with democratic leadership provide outcomes that are by far more desirable and long lasting.

Consistent with the above premise, Karl Weick (*Administrative Science Quarterly*, 1976) proposes that loose coupling can be viewed as having the following distinct advantages over tight, inflexible bureaucracies:

> *1) Elements in a loosely coupled system understand their environments better than do tightly coupled systems which have fewer externally monitored or independent elements.*
> *2) Adaptation to local change can be accomplished more efficiently if just one element changes to meet the needs of some unique contingency. Thus, the whole system need not change; results are more economical and substantial.*
> *3) Should there be dysfunction in one portion of a loosely coupled system, the breakdown is sealed off and need not affect other elements within the organization. If one element within a loosely coupled system fails, the total system will survive; the failure or deterioration will be checked.*
> *4) Loosely coupled systems preserve more diversity and creativeness in responding to needs or problems within the local environment than do the tightly coupled systems. A wider range of changes in the system can be adressed. Elements in the loosely coupled system can adapt to local needs without involving the whole system.*
> *5) In a loosely coupled system, the individual elements share a sense of greater self-determination.*

From the perspective of the practioner there is little doubt that these advantages are true and realistic. The theorist may argue, however, that to oppose each of the above advantages implies the necessity and importance of contextual theories; predicted outcomes (or their opposites) should emerge. Weick (1976) would suggest self-contained research projects. The theorist/researchers would further argue loose coupling contains a greater number of outdated practices. The practioner, on the other hand, is concerned with results and employs whatever practices or methods that achieve the goals of the system in the most efficient and effective fashion.

The following priorities should be considered as one studies, examines and researches schools as loosely coupled systems:

1) To make clear what are the elements functioning in a loosely coupled system. Are these elements continuously present or do they disappear as tasks and priorites change? Parameters must be set and all elements must identified and counted.

2) Loose coupling should be studied comparatively with tightly coupled systems. New methodology may have to be employed to examine patterns of tight and loose coupling.

3) Descriptive studies should be conducted to point out how organizations can be most effective and adaptive to the needs of their clients (students, parents and communities).

4) Determine the importance of task and authority on the loosely coupled system. One must study the patterns of coupling and whether other coupling mechanisms in addition to task and authority have significance.

5) Determine if schools function more effectively or less effectively as loosely coupled systems.

The researcher and practitioner need to understand and analyze organizational theory. Eva Baker (*Phi Delta Kappa*, March 1984) states, " . . . educational research *does* affect practice, has done so far some time, but needs improvement."

Concept Applied— Though one can see the advantages of conceptualizing schools as loosely coupled systems, one must recognize that the pattern of any organizational system is determined by the purposes of that system and the variables peculiar to the organization. School systems vary based on the number of schools, geographic boundaries, location, number and ages of students, philosophy, financial resources, numbers of employees, community expectations, etc.

The task of the superintendent and district administrators is to define and communicate the primary goals of the Board of Education to the local schools. The superintendent delineates the goals and objectives of the school district to the building principals. The principals communicate these same goals to their staffs and determine the methods whereby these goals will be achieved.

Continuing with the above model, the superintendent and central office staff supervise and coordinate all efforts. Principals and teachers provide instruction based on School Board policy and regulations, budgetary constraints, approved curriculum, etc., but choose methods (teaching styles, placement of students, etc.) that are most efficient and effective for them and their students. Individual schools may have limited communication among themselves but should have good communication with the central office.

The oversimplified model above can be appropriately applied to the organization and operation of the school business manager's office, pupil personnel services, transportation, the curriculum departments and, of course, the organization of the individual schools and how these schools will differ while existing as part of the same system.

The obvious question here is what effect does leadership style have on the efficacy of the loosely coupled school. Does style facilitate growth within the system?

Leadership Style and How it Relates to Loose Coupling

Within any organizational structure, there must be a leader—someone in charge who is going to make decisions and coordinate activities. Assuming a given school system is loosely coupled, the uniformed or poorly informed would assume that the leadership style of the chief executive and his/her administrative team is laissez-faire at best. It might be further suggested that what is needed is a strong, iron-fisted, unbending decision maker/leader.

Research clearly points out that a laissez faire leadership style is the least effective. To say that school systems that are loosely coupled are run by school administrators who are weak or unwilling to take charge is erroneous.

Briefly consider the complete opposite—the autocratic leader who makes all the decisions and insists on a "tight ship." While he/she is present and in charge, the organization might run smoothly on the surface (staff morale as a variable exempted). Should circumstances call for the leader to be away for an extended period of time, the system might experience problems. The members of the system who were not part of the decision-making process do not feel commitment to the decision of the leader or the goals and objectives dictated to them.

Research (Lewin, Lippet and White) concludes that the best leadership style is a democratic style whereby all members of the system have input and are part and parcel of the decision-making process and assist in identifying and defining goals and objectives. The leader who espouses the democratic style of leadership is a facilitator, a coordinator and a decision maker who has the conviction and self-assurance to work with subordinates in an open, trusting and participatory fashion. Strength of leadership and democratic style are not exclusive of each other but rather essential elements of the same process. It is the secure leader who can delegate responsibilities and, of course, take full responsibility for failures as well as successes.

Today, administrators/managers need only to look to the Japanese and their methods of participatory leadership, as evidenced in Quality Circles. Japanese employees at all levels—assembly line to boardroom—participate in activities that identify problems and the solutions to those problems.

The same principles apply to schools. Our nation's schools are staffed with highly capable and qualified people at all levels. If allowed to assist in the decision-making process, these same people will make decisions that are more meaningful and relevant. There will be greater commitment to accomplish the goals of providing better education for all students.

Conclusion— As the organization of school is studied and analyzed and implications drawn as to why some schools are better than others, it must be remembered that the answers are not always clearcut or consistent. Theorists and researchers do shed light on complex problems and give us tools to look at ourselves differently. To point out that schools are loosely coupled systems has tremendous merit as we strive to change and improve the quality of education for the nation's youth. With today's limited school dollar, how can schools get the most for that dollar? How can schools be more effectively and efficiently organized? What organizational practices should we continue? What should be changed?

It has been the experience of this author that Management by Objectives is highly compatible with the concept that schools are loosely coupled systems. Goals and objectives are defined by boards of education and communicated to the schools and departments within the system. Each school or department is expected to achieve these goals in a manner that capitalizes on the strengths of its personnel in relation to the unique characteristics and needs of the students, community and resources available.

The tasks of the educational leader continues to be to coordinate, facilitate, execute decisions, review and evaluate, being ever-mindful of the purposes for which today's school exist.

5

The Problems and Promise of Management by Objectives

Kenneth R. Stevenson
and
Leonard O. Pellicer

IT has been said that Christopher Columbus was the first great educational planner. When he left Spain, he didn't know where he was going. When Columbus arrived in the "New World," he didn't know where he was. When he returned to Spain, he didn't know where he had been and the whole project was federally funded. Although the logic of Columbus as an educational planner may be somewhat fuzzy, the putdown of educational managers for their lack of management expertise is inescapable.

The truth is, managers in the public domain have long been subject to the ridicule of their more worldly colleagues in the private sector. A number of reasons could be cited for the apparent gap in management technology between the practice of business administration and the practice of educational administration.

Traditionally, managerial innovation has occurred in the private sector spurred by competition to build and market the proverbial better mousetrap, thereby increasing profit margins. Managers of the educational enterprise have been slow to adopt and adapt promising management practice from the private sector precisely because they have lacked this profit motive. Pure and simple, keeping up with the Jones's hasn't been a matter of survival for educators.

In all fairness to educational managers, there has traditionally been a philosophical idealism among the ranks that has resisted the temptation to be overly precise in measuring educational outcomes. Goals for the emotional, psychological and social growth of our youth, goals that defy measurement, have long been esteemed by educators as well as society in general.

More importantly, there has never been a perfect match between the industrial model and the educational model. If one assumes that a general system is composed of inputs to the system, activities within the system and outputs from the system, then a comparison of industrial and educational systems might appear as illustrated in Figure 1.

While a strong argument could be made that the models illustrated above are oversimplified and the differences exaggerated, it must be acknowledged that certain fundamental differences do exist.

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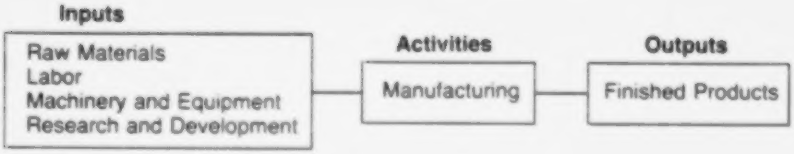
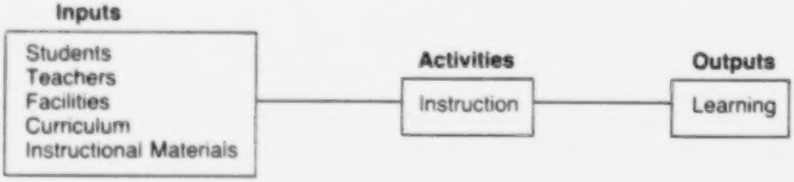
Figure 1: Industrial System


Inputs
Raw Materials
Labor
Machinery and Equipment
Research and Development
Activities
Manufacturing
Outputs
Finished Products

Educational System


Inputs
Students
Teachers
Facilities
Curriculum
Instructional Materials
Activities
Instruction
Outputs
Learning

In terms of inputs to the systems, raw materials are much more uniform than students, and the results achieved during the activities phase are therefore much more predictable. Undeniably, research and development does occur in an educational system. However, emphasis on R&D in education is minimal, consuming less than one percent of available resources versus 5 to 10% or more in business and industry.

The activities phase is much more controlled in the industrial system. In fact, quality control dictates standardization to the extent that under ideal conditions, every activity during the manufacturing process will be performed precisely the same way on each unit produced.

A similar approach practiced in educational systems in the past has proven disastrous. Experience has taught us that differences in children are probably greater than similarities. Any parent with more than one child can attest to this fact. Therefore, the approach to structuring educational activities for children must be suited to individual differences rather than standardized if we are to achieve maximum educational output.

Given the differences in inputs and the necessarily divergent approaches taken during the activities phase of the two systems, is it any wonder that we find it difficult to compare the results of educating children with the results of manufacturing television sets? The successes and failures of the educational system are simply not as readily apparent as the successes and failures of the industrial system.

Although it may be more difficult to control inputs and activities and measure outputs in a complex educational system, educational managers have not been excused for their collective failure to effectively carry out these responsibilities. Beginning with the Sputnik scare of the late 1950's, accelerating with the declining resources and rising costs of the 1970's and intensifying with the rash of reports of the 1980's that declared a state of national educational emergency, the vice of accountability has steadily tightened on the educational manager.

The American public has become increasingly dissatisfied with the outputs of the educational system. Falling test scores, meaningless high school diplomas, rising unemployment rates, falling productivity and a fear that America may ultimately lose the "high-tech shootout" with other industrialized nations have all contributed to a national crescendo of voices calling for more accountability from the educational establishment. Interestingly, as the pressure for accountability has accelerated, the application of management by objectives by school systems has grown proportionally. In the preface to his book, *MBO II*, George S. Odiorne points out that ". . . in 1965, the system of management by objectives (MBO) was considered a new idea. . . . As we enter the 1980's however, it can be said that MBO is the dominant form of management in large corporations and in government."[1]

What is MBO? There are about as many definitions of MBO as there are writers on the subject. Odiorne, the author of two well-received books on MBO, defines it as follows:

> *In brief, the system of management by objectives can be described as a process whereby the superior and subordinate managers of an organization jointly identify its common goals, define each individual's major areas of responsibility in terms of the results expected, and use these measures as guides for operating the unit and assessing the contribution of each of its members.*[2]

Peter Drucker, also a pioneer in the field, defines MBO in broader terms:

> *Management by objectives and self-control may properly be called a philosophy of management. It rests on a concept of the job of management. It rests on a concept of human action, behavior, and motivation. It applies to every manager, whatever his level and function, and to any organization whether large or small.*[3]

Karl Albrecht, a well-known consultant, author and industrial engineer offers the following definition:

> *Management by objectives is nothing more—nor less—than an observable pattern of behavior on the part of a manager, characterized by studying the anticipated future, determining what payoff conditions to bring about for that anticipated future, and guiding the efforts of the people of the organization so that they accomplish these objectives while deriving personal and individual benefits in doing so.*[4]

Albrecht goes on to say what MBO is and is not. "This is not a system. It is a method. It is not a procedure. It is a concept. It is a philosophy. It is a basic mentality which the high performing manager brings to the job of managing."[5]

The present writers would argue that MBO is, in fact, a system. At the very least, MBO is systematic as it is practiced, with a clearly identifiable sequence of activities that must occur. We certainly don't dispute that conceptually MBO has a philosophical and theoretical basis. In fact, Odiorne sums up the theoretical basis very well: "the first step in managing anything is to define your objective before you release any resources or spend any time trying to achieve it."[6]

For the purposes of the discussion that follows, we offer our definition of Management by Objectives:

> *MBO is a systematic approach to management that focuses on establishing organizational objectives at all levels, controlling resources in the pursuit of those objectives and carefully measuring on a regular basis progress toward established objectives.*

We are willing to allow flexibility in both a philosophical and a conceptual context in terms of the conditions that must exist before MBO can occur, how much involvement all employees should have in the goal-setting process and how rewards systems should be structured to assure individual efforts will be directed toward organizational goals. We see all these considerations as situational, to be determined by the people involved, the task at hand and the structure of the organization. Specific examples of how MBO can be applied at different levels of an educational system will be discussed a little later in this chapter.

Where did MBO Come From— Although the exact genealogy of MBO is uncertain, the conceptual framework evidently originated during the 1920s and 1930s.[7] Captains of American industry during this period, such as John Henry Patterson of National Cash Register and Thomas Watson, Sr., of International Business Machines Corporation certainly played an important role. Equally important in the development of MBO were the ideas of management consultants such as Alfred P. Sloan, Donaldson Brown and Albert Bradley in the early days,[8] and Peter Drucker, George S. Odiorne and Karl Albrecht more recently.

As American corporations grew and diversified, MBO grew out of a need to decentralize for the sake of efficiency while still maintaining accountability. As firms grew larger and more complex, informality had to give way to formality. The only viable alternative for managing huge corporations with hundreds of divisions seemed to be to control resources and output. MBO was a means to control resources and outputs while providing a framework for industrial democracy. It is not surprising that as school districts have grown in size and complexity they have come to rely more and more on MBO to control resources and output.

How Does an Educational Organization Implement the MBO Process?

The actual MBO process involves the completion of three major phases. These are the Problems/Needs/Goals/Identification Phase; Strategy Development Phase; and Implementation/Evaluation Phase. Within each of these phases are several specific steps that must be taken if the MBO process is to be successful.

Phase I: Goal-Setting/Problem Identification— Phase I is probably the most important of the three phases. In Phase I, the problems, needs and goals of the organization are identified, modified and/or verified. Unless the organization carefully completes this process, strategies and action plans that are developed in the second phase to solve the problems of the organization may be totally inappropriate and therefore unproductive. The result could be similar to teaching a child how to measure in inches and feet and then finding that the student's skill level is to be tested using centimeters and meters.

The three major steps within Phase I that must be completed include 1) determination of the method to be used in the goal-setting activity and the persons to be involved in and responsible for the completion of the process, 2) establishment of a baseline of factual information and delineation of the current status of the organization, and 3) compilation of a list of problems, needs and goals based on solid and objective baseline data.

Phase I-Step 1: Who and How in MBO Goal Setting— The method of goal setting is often as important as the actual goals of an organization. One method of goal setting is to simply have a designated individual, who by title, expertise or default has the power and inclination to establish the direction the organization will pursue in coming years. This approach has at least two major drawbacks. First, in our increasingly complex and technologically sophisticated world, it is extremely difficult to find an individual who has the depth and breadth of knowledge and experience to be an effective judge of all the needs, problems and goals of even relatively small, uncomplicated organizational structures.

Secondly, as more and more members of our society have become better educated and, as a result, more confident of their own thoughts and ideas, organizations have discovered that participatory planning is not only desirable but mandatory. Citizens in current American society, whether workers or clients of an organization, are extremely reluctant to expend their resources such as time, energy or dollars unless they truly believe that their best interests are being served. Gone are the days when any organization, educational or otherwise, can say, "Trust me" and get the hoped-for result.

As a result, one key to successfully managing by objectives is to select a goal-setting process that purposefully seeks the input of those affecting and affected by the activities of the organization. This participatory approach accomplishes two things. By involving various persons with a multitude of backgrounds and divergent training, the organization increases its pool of expertise. Two heads are in fact better than one. Actively seeking and using the input of others in the process of problem solving and goal setting tends to cause those "others" to adapt the resultant product of their efforts as their own. Simply stated, if a person has helped determine that a goal is worth pursuing, that person will later work to see that it is accomplished. If a goal is externally imposed on an individual, that individual will be less likely to give fully of his or her time, energy and expertise to support that goal. He or she may even resist or fight the goal because it is either not understood or unacceptable and, therefore, threatening.

Phase I-Step 2: Fact Finding— A fundamental law of goal setting is that those persons establishing direction and goals for an organization must first have a basic knowledge and understanding of that organization. This process entails becoming aware of the organization from at least two perspectives. First, what are the parameters in which the organization is required to operate? For example, before setting objectives for an educational institution, those involved in the planning process must become knowledgeable of the regulatory constraints that dictate to an extent how the organization will operate.

Because of federal requirements, an educational institution may need to expend certain funds in only a limited manner, maintain a prescribed ethnic balance in clientele and regularly produce substantial data in a fixed format. At the state level, that same educational institution may be required to maintain pre-established teacher/pupil ratios in classes, produce a prescribed amount of local property tax dollars for funding purposes and utilize a mandated accounting/reporting system. From a regional perspective, the educational institution may also be required to have facilities and programs of a certain quality to maintain accreditation. Locally, governing agencies such as educational policy boards may require that the educational institution receive approval before expending funds or making personnel adjustments.

In addition to becoming knowledgeable of the parameters in which the organization must function, those involved in planning must also be aware of the current operational status of that organization. How well is the organization currently functioning? Are present objectives in place being met? If so, are the most effective and efficient means being used to reach those objectives? If not, why not? Are the objectives unrealistic, too vague to measure, in conflict with other objectives or little known and much forgotten?

Meaningful goal setting can occur only when those persons involved in establishing management objectives have been made aware of the parameters in which an organization must operate and have objectively determined the current operational effectiveness of that organization. Unless this step is carefully accomplished, objectives may well be set for the educational institution that are either in conflict with the legal confines in which the entity must operate or are meaningless because the organization has already effectively addressed the issue.

Phase I-Step 3: Goal Identification— At the completion of Steps 1 and 2 of the first phase of the MBO process, a planning team has been put in place that is knowledgeable of the organization and representative of the groups affecting and affected by that organization. Step 3 utilizes that team and its accumulated knowledge and expertise to answer the following questions:

1) What should this organization produce in terms of results?

2) What should be used to measure that productivity?

3) Is there now a discrepancy between what should occur and what is being produced?

4) What standards and goals should the organization pursue to meet its basic purpose for existing and what actions should it take to overcome any identified problems and needs?

5) In what priority order should identified goals and problems of the organization be handled?

These are obviously difficult and complex questions. Operationally, it is probably not wise to attempt to address the above questions initially from a global perspective. Sub-dividing the organization into its major components or parts will make the process much less cumbersome and considerably more manageable. For example, the planning team could look at each component separately and then summarize its findings. Or, as an alternative, the planning team could be divided so that subcommittees would be responsible for studying specific parts of the organization and reporting back to the team. The team would then work as a whole to establish priorities for the total organization.

Phase I: The End Product— When all three steps of Phase I have been completed, the organization has been given input as to the direction it should pursue, the areas of weaknesses it must deal with and the relative priority in which goals, problems and needs should be addressed. The general responsibilities of the organization have been established and affirmed.

The MBO process is only partially complete at this point. Yet to be determined are specific strategies needed to solve problems as well as reach goals followed by actual implementation and evaluation of those strategies. The process of developing strategies to reach goals and solve problems is described in the following section.

Phase II: Strategy Development— The second phase of the MBO process entails identifying requirements to meet problems and reach the goals identified in Phase I, exploring alternatives to accomplish the goals and solve the problems and developing a detailed implementation plan. The basic question to be answered in this phase is, "How can resources and personnel be best used to solve problems and meet goals?"

Unfortunately, many organizations stop at the end of Phase I, assuming that since problems and goals have been identified, everyone will then take appropriate action. What happens in most instances is that no one assumes responsibility for implementation. Everyone's job is no one's job! MBO is often blamed for a lack of productivity when, in fact, the problem is caused by a failure to complete the total MBO cycle.

The three major steps within Phase II must be completed if an organization is to benefit from the initial MBO goal setting process. These steps include 1) identifying methods and persons responsible for strategy development for each of the Phase I high priority goals and problems, 2) exploring alternatives and developing problem-solving models, and 3) defining and securing approval of a detailed action plan to meet priority goals and solve priority problems.

Phase II-Step 1: Exploring Alternative Solutions— After a goal or problem has been identified, the next step is to determine who should be responsible for developing strategies to accomplish the task. This is a critical component of an effective MBO process. Planning and problem-solving expertise are a must. In all likelihood, the organization will not have the finances, personnel and/or other resources to immediately resolve every problem, meet every need and/or reach every goal identified. Some individual or group within the organization knowledgeable of its resources must assume responsibility for studying each priority issue, exploring alternative means to reach the priority and recommending the "best" alternative for implementation.

While goal setting and problem identification are best accomplished using a team approach involving representation of all of those affecting and affected by the organization, strategy development is probably more efficiently and effectively accomplished by a limited planning group with specific expertise in the area under study. For example, a school district might involve teachers, principals and citizens in evaluating the effectiveness of the personnel function in securing and retaining qualified instructors. If that group found that the district should strive to improve teacher selection procedures, the possible methods for bringing about better selection should then be explored by those with the technical background and knowledge in this field. In this case, the personnel director, along with members of his/her staff and perhaps a consultant expert in personnel matters, might well serve as a Phase II planning team to explore strategies for improving the teacher selection and retention process of the district.

This suggestion is not meant to discourage continued participation of the clientele served by the organization. However, exploring strategy alternatives requires large amounts of concentrated time and energy. It would be unfair to ask citizens or staff members with full-time responsibilities in other areas to perform the strategy development "leg work." Nonetheless, one criterion that should be considered in selecting the best strategy from all of the alternatives studied is the degree to which the clientele understand and support that option. In this regard, the clientele of the organization, while not actively involved in fact finding, serve as a "sounding board" for those directly responsible for strategy selection.

Returning to the teacher selection example, the personnel department may explore 10 alternatives for improving the staffing function. Upon completion of that data-gathering exercise, the information could be presented to a representative group of teachers, principals and citizens so that they would see the benefits and costs of each alternative as well as provide input in terms of preferred strategies. After further study by the personnel department, a "best" strategy might well be presented to the advisory group of staff and citizens for their consideration and endorsement. Subsequently, the personnel department could recommend changes to the school board and superintendent knowing that those affected by the proposed change would be supportive.

Phase II-Step 2: Exploring Alternatives— In almost any situation, there exists more than one way to solve a problem or reach a goal. The important consideration during this step is analysis of cost versus benefit within the confines of the reality of the situation. The most effective approach to analysis of alternatives is to identify the criteria by which each option will be evaluated. Establishing valid criteria is crucial. If an important factor is not considered, or if the relative importance of that factor is underestimated, the strategy ultimately selected might be the least effective and most expensive option availble in the long term.

In exploring alternative solutions to problems or alternative paths to goal achievement, the following procedures are recommended:

1) Establish evaluation criteria to judge alternatives including:
   a) Restraints
      1. Federal
      2. State
      3. Regional
      4. Local
   b) Costs—Fiscal
      1. Start-up
      2. Short term
      3. Long term
   c) Costs—Personnel
      1. Manpower
      2. Training
   d) Costs—Capital
      1. Facilities
      2. Equipment
      3. Utilities
   e) Costs—Time
      1. Planning
      2. Implementation
      3. Observable Results

f) Benefits
    1. Organizational
    2. Community
    3. Individual
2) Establish the relative weight or value of each criteria
3) Measure each alternative against each criteria

Criteria such as these need to be developed for each alternative. The criteria should be stated in quantifiable terms so that the degree to which each alternative is affected by the evaluative factors can be measured. For example, a scale such as is illustrated in Figure 2 might be used.

Figure 2: Costs:Time

	Planning	Implementation	Observable Results	Overall Time Rating
Alternative "A"	Three Months	One Year	Two Years	Poor Good 0 1 2 3 4 5
Alternative "B"	Six Months	Nine Months	Three Years	Poor Good 0 1 2 3 4 5

Another consideration in selecting a strategy is its ability to be field tested. While use of carefully selected criteria can offer sound background information from which to select the most appropriate strategy for implementation, such a system is not foolproof. If a strategy can be "tried on for size" before final selection and full implementation, an organization can be better assured that the approach will actually work. If a strategy does not lend itself to a pilot project format, an organization should approach commitment of large amounts of resources with extreme caution.

Phase II-Step 3: Detailing the Action Plan—After a strategy has been selected from the available alternatives, a detailed action plan should be developed and disseminated. If a particular goal is to be reached or problem solved, careful attention must be given not only to selecting a strategy but to how, when, where and by whom that strategy will be implemented. Many organizations have been less than successful with the MBO process because they have failed to adequately develop a management system for implementing strategies designed to reach goals or solve problems. In such cases, all of the time, energy and resources expended in the first phase will have been wasted.

To prevent the process from breaking down at this point, it is imperative that the implementation procedures be committed to writing. A written action plan serves as a reminder to all involved what has to occur, who will take the responsibility for various steps along the way, the resources to be allocated and the measures of success of the effects of the strategy. In essence, the written action plan serves as a contract, specifying roles and responsibilities of all parties involved.

Such an action plan should be presented to the governing board of the organization for approval. This procedure insures that the board is supportive of the strategy and affirms to various participants the importance and significance of their individual roles.

Phase II: End Product—When all three steps of Phase II have been completed, the organization has established exactly how it will operate to resolve identified problems and reach desired goals. Specific responsibilities have been assigned to organization personnel. Resources have been identified and committed to the task at hand. The method of judging the effectiveness of the new strategy has been established. All of this has been committed to writing and approvals of governing bodies have been obtained. The actual process of implementing and evaluating this action plan is described in the following section.

Phase III: Implementation/Evaluation—Phase III is the culmination of the MBO process. In this phase, the strategies that have been developed to meet goals or solve problems of the organization are implemented and evaluated. Two major steps occur during Phase III of the MBO process. These are activation of the implementation mechanism and evaluation of the effectiveness of the strategies once they are "on line."

Phase III-Step 1: Activating the Plan—During this step, three things occur. First, a specific "go" date is established and the new strategy is implemented. This is important because it assures that all interrelated components of the strategy are on-line when needed. If various parts of the organization implemented their portion of the new strategy when they felt like it, chaos would be the result. Second, the implementation process is carefully monitored to assure adherence to pre-established procedures. This insures understanding by those of the plan charged with implementation. Third, reports are regularly given during the implementation process. In this way, all involved are made aware that their role is being monitored. In addition, such reports serve to communicate implementation problems before they become insurmountable.

Phase III-Step 2: Evaluation—This step is designed to determine the effectiveness of the problem-solving or goal-reaching strategy once in place and operating. The evaluation is both formative and summative. It is formative in the sense that evaluation is initiated at "day one" of implementation for the purpose of modifying the strategy if it is not as effective as it should be. Evaluation is summative in that after full implementation and subsequent modification based in initial monitoring, a formal process should be used to determine if the goal-reaching or problem-solving strategy has actually been successful.

Phase III: The End Product—When both steps of Phase III have been completed, the organization has probably reached a priority goal or solved a priority problem. In addition, the organization has collected data by which it can tangibly verify the success of the new strategy.

More importantly, the organization has not left success to chance. Instead, the organization has fully implemented a planned and formal process of identifying its problems and goals, developing strategies for each of these and putting appropriate strategies into action. The organization has practiced MBO.

By following all of the steps within each of the three phases of the MBO process, any organization regardless of size can use this technique to reach its goals and solve its problems. The key to success is to move systemmatically from identification of goals and problems to the study of alternative methods of resolving each before actual implementation and evaluation occur. In its simplest form, MBO is nothing more or less than defining where an organization should go, how it should get there and how it will know it has arrived. The following section summarizes several real examples of how educational organizations have used this three-phase MBO process to bring about positive change.

How are Educational Organizations Currently Using the MBO Process?

The following are case histories of several educational organizations that have used MBO to clarify their mission, determine operating procedures and evaluate their successes. As will be evident from reading the case studies, the MBO process can be successfully applied on a large scale across a total school district, a moderate scale by a major school district division or individual school or on a smaller scale as in an enriched classroom.

Using MBO to Establish the Direction of A School District—Several recent national reports concerning the status of public education in the United States had caused local citizens and educators in a moderate-sized Southeast school district to pause and reflect on the level of success and productivity of their own system. Major studies such as "A Nation at Risk," "Action for Excellence," and "High School: Report on American Secondary Education" have identified from a broad perspective many major issues that must be resolved if public education is to meet the needs of students and the demands of society in the coming decade. Educators and citizens of the district wondered: "How can we assure ourselves that we have excellence in education within our own school district?"

To meet the challenge of excellence in education, the school district instituted a comprehensive educational planning process. The purpose of the process was to set goals for the district, establish priorities for action, determine the most appropriate strategies for accomplishing priority goals and channel human and material resources into a system of effective education.

Unlike previous planning processes, the school district chose to involve its constituents in a cooperative approach to affirm its role, its strengths and weaknesses, the measures of success it should use and needed resources. The educators of the district knew they, working alone, could not be the sole determiners of current effectiveness or future direction of education. They knew those who pay for public education, those who employ the "end product" of education and those who entrust their children to the educational system, would have to be involved in establishing new and mutually agreed upon directions for public schooling if the district were to be judged successful.

Move to Excellence—The school district chose to accomplish the move to excellence in three phases. In the first phase, the district wanted to take a hard look at what it was doing, determine how effective it was and identify major problems and goals. Because a school district emcompasses so many diverse functions, a decision was made to identify major components for specific study. In this particular district the instructional component was studied by five groups including one each for elementary, junior high/middle years, high school, special students and vocational/adult/community education. The support side of the school district was studied by five groups including one each for finance, information and data management, personnel, school/community relations and facilities. To coordinate the 10 study groups, a steering committee was established to define operating procedures, assure communication among study groups and secure resources, data and input required to conduct the process.

What made the comprehensive planning process in this district unique may well have been the composition of the study groups. For a process to be productive, the composition of its study groups must include persons known and respected in the community and the school system. Therefore, the district set out to identify these individuals. Schools and community leaders were contacted. The comprehensive planning process was explained to each and each was asked to either serve or nominate participants to serve. Educational personnel contacted included teachers, principals, parent advisory council chairpersons, district staff, school board members and local college personnel. Community members contacted included governmental officials, business leaders, religious leaders, representatives of ethnic groups, representatives of senior citizens groups and civic organization presidents.

From the list of nominations, committee members were selected for each of the 10 study groups. So that each study group would be diverse enough to represent the various points of view within the community and the school district itself, at least 10 persons were assigned to each. Five of these were educators representing teachers, building administrators, district staff and noninstructional personnel. The remaining five were citizens selected based on their expertise and leadership capabilities. Careful attention was given to balancing the membership of the study groups. Appointments were made so that there was representation based on locale, age, occupation, ethnicity, sex, philosophy, civic interests and length of residency.

Once the study group membership was established, all persons participating in the comprehensive planning process met together to be briefed on their roles, the operational procedures of their study group and the resources available to assist them in their study of the school district. Subsequently, each study group met for an in-depth review of the role, effectiveness and future direction of the organizational component they were evaluating.

Each study group was specifically asked to:

a) Determine according to governing policies regulations and statutes what the organizational component under study is required to do.

b) Determine according to "good" practice what the organizational component under study should be doing.

c) Determine according to estimates of future trends what the role of the organizational component should be in years to come.

d) Determine by close study what the organizational component is now doing.

e) Recommend goals, problems to be resolved and priorities for the organizational component under study.

After development of tentative recommendations in each study group, other study groups and the general citizenry were given the opportunity to react to and offer suggestions about the findings. Each study group reported its draft recommendations to the comprehensive planning task force. This process reduced the possibility of conflicting recommendations and increased the likelihood of integrated goal setting and problem solving.

After the groups had shared tentative recommendations with each other and these had been modified based on the interaction of the study groups, all of the revised recommendations from all 10 study groups were presented at three public meetings. The recommendations were read and citizen input sought. After these meetings, the study committees made any final changes based on citizen input. Each group then presented its findings to the superintendent and school board.

At this point, the second phase of the MBO process was initiated by the district. The school board directed the superintendent to study each recommendation and present an action plan within a specified time to reach the goals and resolve the problems. The superintendent established an administrative study team to review the recommendations and study alternatives for accomplishing each. The superintendent also appointed a monitoring committee composed of selected citizens who had served on the first phase study groups to provide community input into the development of strategies to meet the recommendations.

The administrative study team, using input from each district component for which there was a recommendation, developed alternative strategies for reaching specified goals or resolving identified problems. These alternatives, along with an analysis of the costs and benefits of each, were presented to the citizens' monitoring committee. After input from this group, the administrative team presented its findings to the school board along with a recommendation as to which of the alternative strategies it believed would best meet the needs of the district. The citizens' monitoring committee endorsed the work of the administrative team.

After the school board reviewed the strategies, it established a priority list of recommendations to pursue and approved a strategy to accomplish each. From that point, the administrative study team served as a clearinghouse for development of implementation plans. Each organizational component was directed to produce an action plan to implement the goal-reaching or problem-solving strategy approved by the school board. Each plan was carefully reviewed, resources gathered, inservice given and evaluation mechanisms put in place before actual changes were allowed to occur.

When an action plan was completed and approved, the third phase of the MBO process was initiated. The action plan was put into effect and carefully monitored to see that implementation procedures were being followed and expected results obtained. The administrative study committee constantly communicated progress to the citizens' monitoring committee. The citizens' monitoring committee periodically appeared before the school board to report on the progress of the district from a citizen perspective. And, the district periodically produced written documentation of the status of each recommendation of the original study groups. This information was supplied to each study committee member, all school district personnel and the news media.

The process is continuing in the district today. New goals have been established and additional problems identified. In this regard, the MBO process has become continuous, with new priorities being cycled into action plans as higher priorities are accomplished.

Using MBO to Solve a Personnel Management Problem—A school district had been using the same system to pay administrators for many years. No one was happy with the approach which was based on applying a predetermined ratio to the teacher salary schedule. How the ratios had come to exist had long been forgotten.

The school board was dissatisfied with the salary system because it did not recognize productivity. Regardless of how good an individual was in a job, he or she would be paid based on years of experience and degree. The superintendent was unhappy with the salary system because several positions that were crucial to the operational effectiveness of the district were assigned ratios that produced a salary range too low to attract and maintain quality personnel. Administrative and supervisory personnel were disgruntled because they believed their compensation to be less than that paid others in similar positions in other districts.

A task force was formed to determine the features of an effective administrator compensation system. That task force determined that a good salary system should have several basic features among which were pay based on the relative worth of the job to the district, pay based on productivity in the job and pay that would attract and retain personnel in various job categories. None of these was operational in the district's existing system. In terms of the MBO model, the task force had accomplished Phase 1, the goal-setting and problem-identification process.

Having established that the current compensation system was unsatisfactory, the task force entered the second phase of the MBO process, determination of strategies to improve the compensation system. In this phase, the task force 1) reviewed ways of grouping administrative and supervisory jobs into groups or classifications based on their relative worth to the district, 2) determined what was being paid by other school districts of similar size in that state and region to administrators and supervisors with similar job resonsibilities and 3) examined various methods of merit pay or pay based on a person's job performance.

Several alternative salary compensation approaches were drafted. These were presented to a subcommittee of the school board and an advisory committee comprised of a representative from each administrative and supervisory group in the district. Input was obtained and alternatives narrowed until a strategy was developed that had consensus of the advisory group and the subcommittee of the school board. At that point, the proposed compensation system was presented to the total school board for review and approval.

Upon school board approval, the district entered Phase 3 of the MBO process, implementing and evaluating the new compensation approach.

Since the new system contained a provision that movement along the salary schedule would be dependent upon satisfactory job performance, special preservice activities were developed to assist the evaluator and those to be evaluated in the process of identifying measurable job objectives. This was accomplished before the new system was made operational. After the new compensation system was operational, a careful check was made of how the evaluation procedures were being implemented. In addition, at the end of the first year of implemenation, the superintendent used consultants to evaluate the strengths and weaknesses of the new compensation system. Where problems existed, recommendations were made to further refine the compensation process.

The new administrator compensation system in this particular school district has been successful for two reasons. First, it is based on the market value of jobs and productivity of individuals in those jobs, not just on time-in-grade. Second, it was developed through the MBO process, thus assuring that it is based on rational, measurable and valid compensation criteria.

Using MBO to Solve a School Discipline Problem—The principal of a large middle school was constantly receiving discipline referrals from the same group of teachers. In his judgment, the referrals were insignificant. Several teachers were complaining that student behavior was getting worse and that classroom instruction was suffering as a result. Many parents were upset because their children came home with stories of unruly classrooms, running in halls and fist-a-cuffs on the playground. Other parents appeared in the principal's office to complain that their children were being unfairly disciplined and picked on by certain teachers. This school was not facing a unique problem but it was one that could reflect on the image and support of the school for years to come.

To resolve the discipline mess that had developed in his school, the principal implemented the MBO process. First, he decided that since teachers, parents and students were affected by the discipline procedures of the school, a representative committee had to be formed to study the problem. Teachers from various grade levels and special program areas were selected based on experience, sex, race, philosophy and respect among peers and the citizenry. An equal number of parents were selected for basically the same reasons.

This discipline study committee first reviewed applicable state statutes and regulations as well as local board and school level policies and procedures that impacted on discipline. Second, the committee researched trends throughout the nation in discipline. Third, using surveys and interviews with students, parents and teachers, the committee determined the current status of discipline in the school.

Putting all of these activities together, the discipline committee developed a list of goals of a good discipline plan and a list of discipline problems at the school. These goals and problems were presented to the staff for discussion and input at a series of faculty meetings. Similar presentations and discussions occurred at a PTA meeting and at the school advisory council meeting.

Continuing the MBO process the principal then initiated the strategy development phase. He divided the total faculty into three subcommittees. To each of these subcommittees, he assigned a parent who had been involved in Phase I. One committee was asked to develop a general set of discipline rules and procedures that should apply schoolwide. A second committee was charged with the responsibility of developing a set of standard procedures that each teacher in the school would use in handling misbehavior in the classroom. The third committee was asked to develop a system of recording, analyzing and reporting cases of misbehavior in the school. The three subcommittees shared their findings with each other, made changes based on their interaction and ultimately produced a draft discipline code for the school. The draft discipline code was presented at a PTA meeting and to the school advisory council. Copies were made available in the school library and parents were encouraged to drop by to read and discuss the proposed discipline code.

After sufficient time for input, the faculty met again as a whole to make final revisions and additions to the code. The code was forwarded to the district office for review to be sure it was not in conflict with board policy or administrative regulation.

This school was not quite ready for Phase III of the MBO process—implementation and evaluation. In preparation for implementation of the new discipline code the principal and staff met several times to practice the procedures outlined and review audio/visual simulations to help the faculty determine appropriate actions to take when various types of misbehavior occurred.

The discipline code was sent home to all parents and they were asked to read the document and sign a form that was to be returned to the school. This assured that parents were familiar with the new system.

Teachers carefully explained the new discipline procedures to their classes. The classes discussed the new rules and procedures. An outline of behavior expectations and consequences of misbehavior were posted in each room.

Once everyone connected with the school was aware of the new code, full implementation was begun. The rules were enforced from the first day and teachers were constantly encouraged to stick by the process. Records were kept by teachers and principal as to types and numbers of misbehaviors occurring from week to week. These figures were used to assess the success of the new approach. When some rules proved to be too lenient or unenforceable, the faculty met to discuss alternatives and modify the plan. At the end of the first semester and again toward the end of the year, special reports were made to parents as to the status of the new discipline approach.

The new discipline approach proved to be quite successful. One key reason was that the principal took time to involve others in identifying goals and problems before developing and implementing change strategies. He also evaluated and modified the new approach as needed so that it did in fact meet the needs of the school. The principal effectively carried out the MBO process.

The Future of MBO in the Educational Sector

Only three decades ago, more than 80,000 school districts serving 25 million students were operating in our nation. Now, about 16,000 school systems exist but are accommodating nearly 40,000,000 pupils. School districts today are on an average eight times larger than they were in 1950.

Not only are they larger, but school districts have become exceedingly complex. More and more instructional programs are being offered. An increasingly diverse clientele is being served including preschool through adulthood. Schools have been given the responsibility for everything from running a transportation system to managing a food service operation, acting as an investment broker of tax dollars to providing students with an education today for jobs that won't even exist until tomorrow.

Gone are the days when a school district or any of its component parts can manage by "the seat of the pants." Gone are the days when educators are judged based on how much is being "put into" education.

Our ever increasingly complex and demanding society expects results. One need only to look at the myriad national reports on the status of education; the continuing taxpayer revolt; the high turnover and burnout rate among superintendents, other administrative personnel and teachers; the emergence of education as a presidential election issue; and the increasing reliance on test scores as a judge of a school's effectiveness to know that management by objectives is imperative.

Today, more than any other time in our nation's history of education, schools are expected to be run like a business. Citizens demand cost versus benefit analysis. Many parents are pushing for the ability to shop comparatively for education through use of a voucher system. School boards are evaluating superintendents based on student test results. And school systems are looking more and more to the private sector when selecting management personnel.

All of this leads to but one conclusion. Management by objectives is here to stay. Those who understand and practice decision-making and resource allocation based on efficient and effective accomplishment of predetermined goals will thrive in the coming decades. Those who continue to approach educational management from a day-to-day "put out the biggest fire" perspective will find themselves increasingly under attack from all sides.

Management by objectives is not a new concept. In fact, it has been around many years in the private sector where it has continually proven its effectiveness.

Not until now, however, has society in general demanded the same level of accountability that stockholders have always expected from a private organization. That demand for public sector accountability has now manifested itself. Those educational managers who fail to realize this fact and choose not to use tested business management practices, such as MBO, will themselves be held accountable and found wanting.

Footnotes

[1] George S. Odiorne, *MBO II* (Belmont, California: Tearon Pitman Publishers, Inc., 1979), p. v.
[2] Ibid., p. 53.
[3] Peter F. Drucker, *Management: Tasks Responsibilities, Practice* (New York: Harper and Row, 1973), p. 442.
[4] Karl Albrecht, *Successful Management by Objectives* (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1978), p. 21.
[5] Ibid., p. 18.
[6] Odiorne, *MBO II*, p. 2.
[7] Ibid., p. 3–13.
[8] Ibid.

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Section Three

Staffing/Influencing

6

People: The Greatest Resource

Joan M. Lakebrink

A recent study (Hugh, 1984) of teachers who lost their jobs because of cut programs or declining enrollments revealed that many would not return to the classroom if given a chance. The reason was not only monetary, but, more importantly, they were not happy with their supervisory practices. They wanted more contact with supervisors, more frequent praise and suggestions, more opportunity to share in setting goals, and a reward system based on their productivity.

School systems have been grappling with management systems since the church elders supervised the teacher in the school on the hill. Essentially, there have been three indentifiable systems of managing employees. The most prevalent has been scientific management in which control, accountability and efficiency are emphasized in an atmosphere of obvious boss-subordinate relationships. Another prevalent model is the human relations approach in which employees are made to feel a part of the organization so that they will in turn work harder and be easier to lead and to control. An emerging pattern of working with employees is human resources management in which all workers share in decision making so that better decisions are made, worker ownership and commitment increased and, in the end, everyone succeeds.

The scientific management approach has a marvelous simplicity to it. People are hired for prespecified duties to be carried out precisely as management indicates. After all, the management is responsible for the organization and ought to be in the position to know best how jobs are to be performed for the good of the organization. Current practices in the mode of scientific management involve teacher competency testing, performance objectives, cost-benefit analyses and performance criteria for all situations. Supervision often is removed from the point at which work occurs; nonetheless, management seeks to control the work situation through series of rational processes. Roles, obligations, rights and relationships are defined precisely; rules and regulations are prescribed to program decision making at lower levels for teachers and students and, sometimes, even entire schools. Decisions that are varied or unpredictable are settled at upper levels only, usually in the light of processing the largest number of students at the lowest cost in personnel, money, space and other resources. Authority and power are centralized.

Conventional logic suggests that results of such a system of operations would be highly predictable. To some extent it is—innovativeness and change

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are not encouraged and rarely happen. Over-regulation distorts communication and works against attaining those goals central administration hold for the schools. Employees are less loyal, do not cooperate, engage in conflict rather than assist their peers and generally are not motivated for achievement of school goals. Frequently, the response of the administration is closer supervision resulting in more tension and alienation.

One alternative to the scientific management approach to working with employees is the human relations model originating in the democratic administrative movement of the 1930's. The "whole person" was the buzz word; personal feelings and comfortable relationships were to be enhanced. The rationale behind this design was that if employees were satisfied they would be easier to work with and to lead; ultimately, work would be performed according to the desires of those in authority. If shared decision making was encouraged, it was not to solicit good ideas; rather it was advocated in order to increase satisfaction and make people feel important, involved and loyal to their organization.

Does this approach work? If the emphasis is on winning over people in order to co-opt them to do their work according to management's direction, it is not surprising that results are mixed. Performance is mediocre because expectations are not articulated. The work place may be characterized by good feelings and low tension because work pressure is eliminated and security is guaranteed. There is much ambivalence about work goals because, whereas people are hired because of their perceived competence, the system emphasizes morale rather than goal achievement.

The third pattern of supervision is human resource management. Employees are viewed as the primary resources in the organization. Their competence is respected in pursuing organizational goals. Shared decision making is one technique in human resource management, but the purpose is to increase effectiveness in achieving goals. Satisfaction comes as a result of the successful accomplishment of worthwhile and meaningful work. Shared decision making is used to arrive at better decisions, insure ownership and commitment to those decisions and achievement of goals as a result of following through on those decisions.

Human resources suggest an integration of individual and organization, an interdependence of all those who work in the organization and the organization itself. Individuals carry out their professional needs by identifying with organizational objectives and tasks. They do this not by sublimating their needs to those of the organization but rather that the organizations themselves are professionally oriented. The organizations have a pluralistic power structure that ensures power and authority to disperse throughout the system on the basis of ability and competence. This means that different persons can exercise power at different times and usually with others because several people will need to bring their talents and skills together to solve a given problem.

Organizations that hire persons for their professional competence, such as school districts, do well to understand the potential contributions of those professionals. Most have considerable formal preparation for their work; they have skills which are not immediately available to the general population (contrary to what some individuals may assert); they are typically committed to their professions or areas of expertise (for example, a biology teacher may perceive herself as a biologist first and as a school employee second); they prefer a reward system that is fair and emphasizes growth, achievement and responsibility. For these persons to function as professionals, they need a professionally oriented organization.

These organizations define job responsibilities according to the specific roles or positions to be filled such as superintendent, principal, third grade teacher, secretary, etc. However, persons who fill those roles have their own personalities. People express their personalities in the way they fulfill their role responsibilities. Not only do they negotiate their roles but they may also encounter conflict with those who may perceive those roles differently. The role expectations tend to socialize individuals while individuals act to humanize the organizations. People interact with the organizational expectations and with others as they strive to achieve individual and institutional goals.

This interaction works best in a climate that enhances professionalism. A healthy climate allows people in a school district, school, individual classroom or office to focus on the learning desired. The professional atmosphere provides interpersonal support and cooperation with an emphasis on quality performance and creativity. Halpin (1967, 174-5) suggested an open climate was the best for optimal school effectiveness. "The Open Climate depicts a situation in which the members enjoy extremely high *Esprit*. The teachers work well together without bickering and griping . . . They are not burdened by mountains of busywork or by routine reports; the principal's policies facilitate the teachers' accomplishment of their tasks . . . On the whole, the group members enjoy friendly relations of intimacy. The teachers obtain considerable job satisfaction and are sufficiently motivated to overcome difficulties and frustration. They possess the incentive to work things out and keep the organization moving. Furthermore, the teachers are proud to be associated with their school."

The open climate needs to be cultivated very carefully. Miles (1965) described those dimensions most crucial in establishing a healthy organization:

1. Everyone in the organization understands and agrees to what the organization is about. Goals are well articulated, achievable with available resources, and appropriate for clients and circumstances.

2. Communication must pervade the entire system. It is not sufficient for the administrators to provide information they think is important but, rather, an extensive network of vertical and horizontal communication is essential. People need information if they are to perform their work well. They also need to be able to confer with others about problem solving or ideas.

3. Power needs to be equalized throughout the organization in the sense that all persons have influence in decision making. This influence may vary according to position and competence, but it is reasonable that various personnel, including students, may be helpful in decision-making areas. They need the opportunity to do so. This may occasionally allow conflict to rise, but this can be managed and collaboration is preferable to closing off influence.

4. Resource utilization is a reason for optimal power equalization. Good organizations hire good people and allow them to work up to their potentials. This cannot happen if every move is dictated. It can only happen if people can work hard without working against themselves, if they can work and produce results that give them a sense of accomplishment in what really matters—learning, professional growth and contribution to the organization.

5. The organization needs to have a clear sense of who it is, what it stands *for. This cohesiveness attracts its members to work for and with other members of the organization.*

6. Morale is a result of as well as a sign of a healthy organization. People feel very good about working in the organization.

7. The organization itself grows through innovation. It invents new procedures as it works toward new goals.

8. The organization works with its environment but is not slavishly dependent on it. It is open to the community in which it operates and responds in a proactive way rather then reactive.

9. The organization adapts to new needs as it interacts with its environment. It changes itself as well as the surrounding community as it engages in problem solving yet maintains sufficient stability to cope with the changes it encounters.

10. Healthy organizations solve problems. They see problems, solve them carefully with those involved, implement the solutions and evaluate the effectiveness of their decision making.

These dimensions are interactive and interdependent in a healthy school organization. All dimensions are needed and enhance one another. If such factors are present, they affect the classrooom, playground, school and district offices. What happens in one area will affect other areas and, just as in a healthy body all parts are healthy, in a healthy school system, students, teachers, and all others learn and grow.

This discussion may fly in the face of those who view students as needing to be controlled. These people would exclude students from any form of participation in decision making and would expect students to follow all decisions and directions without questions. If students are perceived as trouble makers, irresponsible, untrustworthy and undisciplined, school officials design programs and procedures that emphasize order, often at the expense of learning. Teachers begin to see schools as battlegrounds as students become even more alienated. This climate carries with it the added liability of influencing other members of the organization so that the school system is unpleasant for everyone.

The alternative is a humanistic climate in which people work together in a community for learning. Self-discipline is taught and students become committed to their own learning. Teachers cooperate with one another, school officials and students in pursuing learning objectives. They work very hard, actively teach almostly constantly, praise students and involve students in the general life of the school, give them responsibilities and generally make their school life pleasant and rewarding. The results are positive attitude toward one another and towards learning, higher scores on national examinations, better behavior and better attendance (Rutter and others, 1979).

These comparisons illustrate the maxim Argyris (1960) suggested that people perform as they are treated. If they are treated as basically dependent on management, they will exhibit poor behavior. But ". . . healthy human beings (in our culture) tend to find dependence, subordination and submissiveness frustrating. They would prefer to be relatively independent, be active, use many of their deeper abilities; and they aspire to positions equal with or higher than their peers. Frustration leads to regressions, agression and tension. These in turn lead to conflict (the individual prefers to leave but fears doing so). Moreover, it can be shown that under these conditions, the individual will tend to experience psychological failures and short-time perspective" (Argyris, 1960, 226-7).

The traditional view of authority suggests that only those in certain positions have authority over the work of others. In decreasing degrees of authority, these would be school board, superintendent, associate and/or assistant superintendents in specific areas, principals, department chairpersons, teachers and aides. Frequently students are not included at all and people in positions below that of superintendent exercise authority within specific constraints, usually given by those with high authority. This concept of authority stems from the notion of sanctity of tradition in which certain persons or classes of persons may rule and that tradition passes down on the basis of heredity. A more recent concept is legal authority in which norms or laws legitimize a person's authority and compliance is sought through impersonal rules and principles (Weber, 1947).

These types of authority are workable in a bureaucratic organization, but in a place wherin continous professional judgment is needed, legal and traditional authority is not sufficient.

Peabody (1962) studied the relative importance of authority based on competence and authority based on position or legality. School staff valued professional or technical competence as a basis for authority over other types of authority. This phenomenon points up the importance of functional authority, most notably authority of competence and of person. Authority of competence is the result of one's technical knowledge, skill, experience or expertise. Authority of person is the result of the way a person deals with others, one's seniority or popularity, personal characteristics like persuasion, rapport or respect. People who hold positional or legal authority must also be competent and work well with people.

Functional authority calls into question the traditional belief that only those in hierarchical positions of power can exercise authority. "Actually, the concept of functional authority makes it hard to understand why there should be hierarchies at all . . . One of the most important characteristics of functional authority is its relativity. Authority of this kind is always dependent on the successful accomplishment of given ends. Performance is the immediate judge and executioner of such authority" (Hartman, 1959, 284). In school organizations where people are hired for their professional competence and their ability in working with others, those with position power would do well to recognize and encourage the exercise of functional authority to achieve school goals. Staff, especially teachers, are encouraged to do an effective job helping students learn, experiment with new ideas and techniques and suggest ideas to improve the school. The staff needs to have enough authority to do their jobs and enough power to influence decision making according to their professional competence.

School personnel may do a fair day's work for a fair day's pay, but those school systems that can be called especially good have staffs that go the extra mile; they go beyond the traditional employer/employee relationship. People work harder for mastery and for professional growth within their school organization. People with high achievement drive are risk takers who rely on skill rather than chance, who work with high energy to try new approaches to challenges, who accept accountability for their own behavior, who use feedback on results of their work and who look ahead to future goals and accomplishments (McClelland, 1961). Those who wish to utilize the talents of these people would do well to examine all aspects of school management—resource allocation, curriculum, rewards, etc.—to identify any that inhibit or frustrate administrators, teachers, students, secretaries, lunchroom personnel, etc., from developing, expressing or confirming their own competence.

Hackman and Oldham (1976) articulated the concept of job enrichment to make work motivating and highly satisfying to professionals. They contend that the work must be meaningful to the person, the person must feel responsible for the outcomes of the work, and the person must be able to know the efficancy of the work on a regular basis. Professional work in education certainly could meet these criteria if people are allowed to carry out their responsibilities fully. Educators must have a repertoire of skills at their disposal and must be able to use those skills and talents at their own discretion as they assess specific tasks dealing with other persons. They have tremendous influence over the lives of other persons. Because the exercise of professional judgment is crucial they need authority to organize and decide on instructional processes but also need direct and clear information about the effects of their actions.

Teachers are the primary educators in a school system. A given staff of teachers could pool their talents and expertise with those of other professionals to develop curriculum, teaching strategies and various other programs to enhance students' growth, maturity and learning. Teachers also are the most logical persons to establish direct client relationship with students and parents. Instead of encouraging impersonal relationships with students, teachers could take advantage of the face-to-face contact with students and their parents to obtain immediate feedback and develop their own skills in effecting learning. Such practices in the end mean high internal work motivation, high quality work performance, high work satisfaction and low absenteeism and turnover.

Successful companies have utilized such practices that maximize the axiom, "what's good for the individual is good for the organization." In their highly acclaimed book, *In Search of Excellence: Lessons from America's Best Run Companies*, Peters and Waterman (1982) examined innovative and excellent companies to find out about communication, generation of new ideas, working atmosphere and relationships among people within their company and with clients.

First of all, every company cited genuinely believed in the dignity and worth of each individual person. This may be expressed in flex time or doing away with time clocks. It may be expressed in accepting practical contributions from employees; people are treated as adults and much is expected of them. It may be shown by the training and development opportunities people have within their companies. In all cases, persons are treated with respect and with the sense that they are the primary source of productivity gains; these companies understand the importance of human resources.

Innovation that comes from nurturing people's talents is a natural emphasis in these companies. Instead of innovators having to prove that a new idea is workable, persons opposed to the new idea must prove that it is unworkable. Entrepreneurial people are sponsored; furthermore, people are allowed to make mistakes. An environment is created in which people can come up with new ideas, make mistakes and grow. Instead of complaining about people resistant to new things, they find out what people are willing to do. Instead of asking "What is standing in the way?" they ask, "What are some things we can accomplish in the next little while?"

Obviously, spirit is a key ingredient in many of the companies. An important element of this spirit is fun or a sense of excitement at working with such a company. People like what they do, do what they do well, and spread their enthusiasm to others in the company. An informal atmosphere helps create exuberance, but basically people enjoy coming to work and doing their job.

Excellent companies also create a sense of smallness even if they are a huge conglomerate. Individual plants or facilities are kept small for the sake of efficiency. Personal contact is regarded as essential and can be achieved in smaller facilities or small project teams within larger companies; personal contact and smallness can also give the companies more flexibility in terms of their human resources. People with similar job responsibilities are able to collaborate.

Communication is the name of the game in successful companies. They enjoy an immense network of informal, open communication. The patterns that this intense communication cultivates help get the right people together for the right tasks. Such rich communication leads to action, experimentation and innovation, learning and cohesiveness in the organization. Management makes a point of meeting with persons in all areas of their responsibility; they also pay attention to clients. Customers form a partnership with the companies. Good companies listen.

Finally, successful companies have values. They know what they stand for, what they are about. They have pride in their values and test decisions against those values so they can look back with the same sense of pride and satisfaction over time. " . . . the basic philosophy, spirit, and drive of an organization have far more to do with its relative achievements than do technological or economic resources, organizational structure, innovation, and timing" (Peters and Waterman, 1982, 280).

Great school systems enjoy a leadership that focuses on well-articulated basic purposes. They expect responsibility and accountability, but also encourage autonomy and entrepreneurship. They foster a climate of experimentation and growth. Staff are able to achieve their personal professional goals as they work toward organizational goals. People are the greatest resource in the schools.

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7

School Managers Must Learn Their X, Y, Z's

John J. Lane

WHILE school children learn their ABC's, school administrators wrestle with their X, Y, Z's. The chapter reviews the basic assumption underlying McGregor's Theory X & Y and Ouchi's Theory Z. Special consideration is given to the application of Theory Z in schools. As many readers know, in 1960, Douglas McGregor asserted that to redesign jobs and encourage commitment in the workplace, managers needed to examine their fundamental assumptions about the nature of humankind. McGregor concluded that most managers hold a set of rather negative assumptions about employees. That is, they believe that the average employee dislikes work, prefers to be told what to do, avoids responsibility, has relatively little ambition and seeks personal security above everything else. Theory X managers motivate through fear and exercise close surveillance over their employees. McGregor maintained that to improve employee performance, increase productivity, and create a positive work climate, managers should apply the principles of his Theory Y. In summary, the assumptions of Theory Y are:

1) Work is as natural as play or rest and depending on conditions may be a source of satisfaction.
2) Fear and control are not the only means to motivate people. Individuals will exercise self direction in the service of objectives to which they are committed.
3) Commitment to objectives is a function of the rewards associated with their achievement.
4) Under proper conditions, average human beings learn not only to accept but also seek responsibility.
5) Creativity, imagination and ingenuity are widely distributed among the population.
6) The intellectual potentialities of the average human being is only partially utilized.

Allen (1973) discovered that managers no longer, if ever, subscribe to the extremes of either Theory X or Y. Nonetheless, new motivational strategies—many based on Theory Y—continue to be developed. Among the evolving theories receiving greatest attention is Theory Z. Theory Z generally supports Theory Y assumptions, but contends that the rewards employees seek are culture

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related. Thus, as cultural norms and societal needs and goals change so also do the factors that motivate people.

Theory Z—Essentially, Theory Z concerns managerial approaches that provide stable affiliations for individuals in the workplace. When family, community, friends and church provided a network of reference groups and close relationships, there was less need to seek them at work. Today we recognize that urbanization, technological change, mobility and worker specialization have weakened traditional sources of support. Work is now much more than merely a place to earn a living.

In addition to developing stable relations at work, Theory Z describes efforts to adapt proven Japanese managerial principles to the unique, highly individualistic American work environment. Theory Z allows individual freedom to flourish "while using the work organization to support and encourage the stability of associational ties."

Before examining specific tenets of Theory Z and their application to schools, it may be useful to examine the similarities and differences that exist in typical American and Japanese organizations.

According to William Ouchi, leading proponent of Theory Z, the ideal Japanese organization favors:

- lifetime employment
- slow evaluation and promotion
- nonspecialized career paths
- implicit employee control mechanism
- collective decision making
- collective responsibility
- holistic concern for the well being of the entire company

American organizations, on the other hand, favor:

- short-term employment
- rapid evaluation and promotion
- specialized career paths
- explicit employee control mechanisms
- individual decision making
- individual responsibility
- segmented concern for the organization

A Theory Z organization is created by an amalgam of the Japanese and American characteristics and is characterized by:

- long term employment
- slow evaluation and promotion
- specialized career paths
- informal control with explicit formalized performance measures
- moderately specialized career paths
- holistic concern for the organization and the employee's family

In other words, Type Z organizations combine the American ideal of individualism with group interaction and group planning. Thus, the simultaneous need for independence and need for affiliation and identification are both satisfied. Decision-making processes in Theory Z organization is a consensual process. Unlike the pure Japanese model, however, responsibility for decisions belong ultimately to the individual administrator, not the group.

Although the popular press focuses on the similarities and differences between American and Japanese managerial approaches, the essence of Theory Z may be discovered in the analysis of four interdependent staff organizational characteristics: commitment to an explicit philosophy, emphasis on long-term goals, trust and participative management.

Commitment to an Explicit Philosophy—The growing literature on school effectiveness indicates that effective administrators "work out" a philosophy with the faculty and staff and continually announce goals consistent with that philosophy. Decisions affecting resource allocations, curriculum and the like are guided by this philosophy. In significant ways, the overall philosophy is designed to engender a holistic concern for the entire school district, not an individual school or grade.

Emphasis on the Long Term—Commitment to long-term development requires abandoning a "quarterly report" mentality wherein short-term, look-good-for-now business practices are preferred to long-term development for the district. A Theory Z long-term mentality is also evidenced when a district commits resources to the development of faculty or when more experienced faculty assist younger faculty, thus developing a mentoring relationship. District investment practices, curriculum planning, inservice development of faculty are examined in terms of long-term consequences.

Participative Decision Making—Deriving largely from trust, participative decision making means simply that those affected by a decision are party to it. Participative decision making means also that information is shared liberally. Ouchi describes participative management as "one of the mechanisms that provides for the broad dissemination of information and of values within the organization, and it also serves the symbolic role of signaling in an unmistakable way the cooperative intent of the firm" (Ouchi, 1981, p. 78).

Trust—Trust implies that work responsibility and authority are delegated whenever possible. Further, trust means that a belief system flourishes based on the assumption everyone in the district shares basically the same goals. Theory Y assumptions undergird management's attitude toward workers.

Steps to Implement Theory Z in Schools

O'Hanlon (1983) adapted Ouchi's 13-step Theory Z implementation procedure to school district realities. He recommends that:

1) Administrative staff studies and debates Theory Z.

2) Administrative staff identifies the school's current, actual decision-making system.

3) The chief administrator defines the characteristics of Theory Z to which he or she can be committed.

4) Administrative staff works with teachers to develop a set of procedures for implementing the characteristics identified in step 3.

5) Administrative staff and teachers work together to develop the interpersonal skills needed to implement Theory Z.

6) Administrative staff conducts a short-term test of the new management procedures and gather feedback on how they work.

7) Administrative staff involves the school board and teachers' association in their goals relative to Theory Z.

8) The board establishes policies to create the environment necessary to stabilize employment.

9) Adminstrative staff and teachers establish a system for slow evaluation and promotion.

10) Administrative staff establishes a system for long-term faculty development.

11) Administrative staff initiates implementation of Theory Z starting at top levels of administration.

12) Administrative staff seeks areas to implement participation of faculty, students and community in decision making.

13) All permit the development of holistic relationships in which those concerned with the school work together to improve it.

It is fair to ask whether or not Theory Z is just another business model with little relevance to the school situation. Indeed, particular district circumstances may hinder or altogether prevent the implementation of Theory Z.

Several advantages appear to make implementation efforts worthwhile. As indicated elsewhere in this book, financial and especially curricular planning in school districts is often fragmented. Theory Z approaches encourage central office staff, teachers and others to work together and obtain a vision of district's "big picture." Second, as indicated previously, participative decision making not only holds potential for better decision making, it also serves to disseminate information about the district more effectively than memos or general meetings. Third, while staff development is given much lip service, it is the rare district that provides those support (mentoring) relationships bolstered by inservice training organized around the themes consistent with the expressed need of faculty and staff.

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8

Alcohol and Other Obstacles to Productivity

James E. Royce, S.J.

"WE don't have alcoholics in our school; we fire them" is a fairly typical response when this topic is first broached to school administrators. There is a double fallacy here. First, any school system of any size is almost certainly employing a number of persons involved with alcohol and other drugs, whose presence is kept hidden through fear of the very policy just stated which discourages them from seeking treatment. Secondly, driven underground by the above policy, they continue as troublesome, half-efficient, accident-prone employees until they are terminated, often after some tragedy.

Probably 10% of the employees (including management) in any school district may be headed toward losing their jobs because of these problems. That means five colleagues in a school of 50 faculty and staff, or 200 in a school district of 2,000 employees. It may vary geographically, but alcoholism rates are higher among the so-called drys who do drink, even in the "dry" areas. They may range from superintendents and teachers to secretaries and maintenance personnel. The more denial at top level that there is a problem, the more likely it is that most of the problem is being kept hidden by both employee and immediate supervisor—or the secretary, in the case of the big boss.

Teachers and school administrators or staff are often highly motivated persons: caring, dedicated, a bit idealistic. Otherwise they would be in a more commercial enterprise than a school. Such people are at high risk for addiction. Alcohol is a drug, much more addictive for some than for others. It is a socially acceptable drug, which makes it easier for school personnel to get hooked without knowing it. Prescription drugs such as tranquilizers, sleeping pills and diet pills are more likely to be a problem than illegal street drugs, although cocaine and marijuana are now becoming so accepted among white-collar workers that their use is almost epidemic. And all these drugs mix with alcohol in ways that are extremely dangerous because the combination does not just add their effects but multiplies them.

Costly Alternatives—Some administrators see themselves as having only three choices regarding an employee involved with alcohol or other drugs: termination, early retirement or continue employing a half-person. All three are costly, and poor management. Termination is costly because valuable employees are lost, whose knowledge and experience are real assets to the school. Early retirement is costly for the same reason, plus the fact that pension benefits must be begun earlier than budgeted. But more costly than turnover is keeping them

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on the job. Aside from humanitarian considerations for either the person or the family, let us examine the cost in hard dollars.

Excessive drinking alone was estimated in the 1950's to cost American business and industry annually $7 billion. Earlier cost accounting studies by Dun & Bradstreet were followed by more thorough studies at Johns Hopkins University and UCLA, putting the figure at $19.64 to $20.6 billion. The General Accounting Office of the federal government reported a similar cost on federal civilian employees. These figures are conservative. Many costs are not recorded and some cannot be measured: staff morale or public good will, and loss to the school's image when a drunken teacher lands on the front page of the local newspaper. But some we can count: lost hours of work, twice the sick leave time of non-alcoholic employees, half work on the job through diminished efficiency or time-wasting habits, errors, wasted time of supervisor, excessive sick benefits and higher insurance premiums (usually paid by the school system), and accidents which can sometimes lead to lawsuits. A simple yardstick to measure what all this costs is to take 10% of all employees, including administrators, and calculate their average salary: at least 25% of that figure is lost each year.

A Fourth Choice—From this it is clear that the question is not how much an alcoholism program would cost, but how much it would save. According to one study, a school district which invested $15,000 in a program would save $221,000 for a net gain of $206,000 which is a very profitable investment. It is expensive NOT to rehabilitate alcoholic employees.

Because of early intervention, success rates in employee assistance programs (EAP's) are usually higher than the national average. Recovery in 60 to 80% of cases is common, some reporting 85 or 90%, and two pioneer programs report 93% success using very stringent criteria. The reason for these high rates of success is twofold: the alcoholism or other drug abuse is nipped in the bud before severe deterioration develops, and the person is highly motivated by the desire of keeping a job. Alcoholism is our most recoverable major illness. But we must act.

Two elements are essential for success: a policy and a program. A policy without a program to implement it is just a sheet of paper. A program without a firm policy to back it up will never be effective.

Policy

A 1971 statement from the prestigious investment firm of Merrill, Lynch, Pierce, Fenner and Smith describes the unwritten policy well known to the employees: we will award sick leave, paid vacations and promotion to any employee who can successfully conceal his or her alcoholism from the attention of management; when the employee can no longer conceal it, employment will be terminated. Since this situation is assumed unless otherwise corrected, a firm policy must be promulgated widely and clearly to educate the whole system: all members at all levels. A policy of "quit or we'll fire you" implies that the alcoholic *can* quit, missing the compulsive nature of the illness as well as the social acceptability of alcohol.

Instead of this negative approach, a positive policy states that alcoholism is a treatable illness entitling one to the same sick leave and benefits as any other illness, with no penalty or stigma attached to seeking treatment. This policy statement provides a basic frame of reference for all concerned, and specifies procedures for uniform administration. It encourages the individual's voluntary use of the program, and serves as a valuable training tool for all employees and administrators.

The policy must state early that there is no intrusion on the private life or personal habits of the employee. The focus is on job performance, and relates to alcohol only to the extent that drinking on or off the job affects the performance. It does not create a Gestapo looking for drunks, but offers assistance to those whose job is imperiled in whatever way. It must make it clear that the fact of seeking help will not become a part of one's personnel record, and will pose no threat to job security or promotion. In fact, the whole purpose is to save the job, and more importantly to save the person who when sober will be a far better candidate for promotion than when drinking.

Participation is voluntary, in the sense that the alcoholic makes the choice. In that sense, they fire themselves by refusing to take the necessary means to remedy deficient job performance. The policy must be clear that firm and consistent action will be taken on this basis. Saving the job and the person is always paramount, so the individual acts for his own good.

Cooperative Effort—Experience has shown the importance that the policy statement be drawn up by a joint committee representing both staff and administration. This is very feasible, because it is in the best interests of both parties. Even when at odds over the bargaining table on other issues, they can and do cooperate well here. Otherwise, the alcoholic plays one off against the other like a kid does with the two parents.

A new joint committee need not start from scratch in writing a policy, but can draw on the accumulated experience and readily available materials of many groups. They will still be free to adapt the policy statement to their local needs. Perhaps the most useful is *The EAP Manual* published by the National Council on Alcoholism (NCA). This publication also contains a practical guide for developing the program. In line with the policy positions already enunciated here, the statement includes the following among its 13 principles:

> *(2) Alcoholism is defined as a disease in which a person's consumption of any alcoholic beverage definitely and repeatedly interferes with that individual's health and/or job performance.*
>
> *(3) Persons who suspect that they may have an alcoholism problem, even in its early stages, are encouraged to seek diagnosis and to follow through with the treatment that may be prescibed by qualified professionals, in order to arrest the disease as early as possible.*
>
> *(8) Neither supervisors nor union representatives have the medical qualifications to diagnose alcoholism as a disease. Therefore, referral for diagnosis and treatment will be based on job performance, within the terms, conditions and application of the union-management agreement.*

Top Level Endorsement—It is most important that this policy statement, although the work of a joint committee, be promulgated as having the endorsement of management at the highest level. Otherwise there will always be doubt about whether middle management will back up a supervisor who relies on it. It must apply to all levels, so that a superintendent is given the same alternatives as anyone else.

Women—A proper policy does not single out women alcoholics, but neither does it make any special concessions to them. Both errors have been made in the past, and constitute unjust discrimination. The old double standard is too often still operative, even when the policy is clearly based on job performance. A woman may make a mistake on her job and is rated "not qualified" where a man making the same mistake simply "needs more training." Women may be more prone to polydrug misuse, but this in turn is usually the result of a patronizing attitude by the physician who looks on her complaints as psychosomatic, or by a psychologizing approach which more often analyzes "female" reasons for drinking instead of facing the nature of addiction in itself. Thus, a 44-year-old office worker dressing for work one day realized she didn't remember where she worked; instead of recognizing blackout or alcoholic stupor, a therapist told her that she hated her job so much she had blocked it out of her mind. Male protectiveness here can only harm the woman by avoiding the issue of alcoholism. On the other hand, sex discrimination has put added pressure on the woman who tries to climb the corporate ladder. She may compete at the bar as she has to elsewhere, drink for drink with the men. Her small size and hormonal differences put her at a distinct disadvantage from the same number of drinks in this dangerous competition.

Program

> *The counselor in business and industry is asking management to let him identify a disease that has not really been defined, to treat a victim who really does not want to be treated, and to educate a population that really does not want to believe that the disease exists.*

The situation may have improved somewhat in the decade or so since the above was written, but it points out that implementation of even the best-written policy drafted by the best joint committee is fraught with difficulties. Developing a program takes time and expertise. After the policy is written and means of promulgation agreed upon, supervisors must be trained, treatment facilities selected, procedures arranged whereby the employee is referred to treatment through the medical department or personnel office, means of payment for treatment worked out, and record-keeping routines established as a basis for followup and evaluation. Many states now require that all group health insurance policies include coverage for alcoholism. Often it can be shown that it is cheaper to treat the alcoholism than the medical complications or injuries resulting from accidents. In all this, the joint committee can call on occupational alcoholism consultants, for example those now available through local NCA affiliates in most parts of the country.

Job Performance is Criterion—As stated in the policy, decline in job performance is the basis for any action taken, and restoration of job performance to proper level is the measure of success. This is crucial, because it takes supervisors out of the role of diagnosing or counseling, and keeps them in their proper role. Besides expecting a function for which they are neither trained nor paid, any other approach invites untold problems. It can lead to arguments: "You were drunker at the staff party than I was." It introduces subjective and emotional factors into arbitration which do not fit with contractual agreements or union-management understandings. Both have the same goal here: coercive action if alcohol or other drugs interfere with job performance of the employee involved or others affected. This latter is relevant because the alcoholic is more likely to create problems for others. This criterion also applies to drinking behavior off the job which either cuts efficiency or reflects on the school. The alcoholic often carries the problem to the school in the form of hangovers, headaches, impatience with the children, nervousness, money worries and even wage garnishments. All of these waste time and cut down productivity.

Supervisors can thus be trained in a two-hour session to carry out the policy, since they do not need to be experts in alcoholism. Their task has four functions: to observe, document, confront and refer. Their observing can be sharpened by alertness to on-the-job signs of alcoholism, especially early signs not usually recognized by those who think of alcoholism in terms of falling down drunk, or even bleary eyes and shaky hands. They must learn to document behavior precisely, so that confrontation is not a fiasco of assertions and denials. The exact dates of absence and tardiness, the excuse given for sick leave (23 tooth extractions of three grandmothers' funerals are suspect), the exact time and place of an altercation and the name of the other party should all be recorded.

The supervisor can look for and document many things not usually thought of as symptomatic of alcoholism. Absenteeism, especially on Monday mornings, is a late sign; the alcoholic knows enough to punch in bright and early and to avoid having a record of Monday morning delinquency on file, at least until the illness has progressed to the point where this gets very difficult. Personality change may be more important than physical signs at first: irritability, especially in one previously pleasant, moodiness, procrastination, sloppy dress, undependability, blaming others when things have been put off or done poorly, avoiding others. To be noted is improvement in personality after lunch or a break where one might sneak a drink from thermos jug or in the washroom; this shows dependence on alcohol to function normally. There may be the usual signs of hangover: red or bleary eyes, hand tremors, flushed face, mistakes or errors of judgment, intolerance of fellow workers. Instead of a steady work pace, the alcoholic may work furiously for a while but spasmodically slow down in both quantity and quality of work. Excessive use of breath purifiers can be obvious, always needing a loan until pay day and even having one's wages garnished. Being indignant at any mention of one's drinking is significant, as are drinking at lunch time, or arriving at work with liquor on the breath. Accident proneness can be due to either drinking or hangover.

Confrontation is aimed at referral, not counseling or even diagnosis. After a warning session, always documented, the second interview puts it squarely to the employee: either improve job performance or be terminated. It is strongly urged that the person use the help provided by the program, whether it be an employee assistance counselor, the medical department or whatever. They do the diagnosis, not the supervisor. However, without violating confidentiality, he can confer with the counselor and discuss the reasons for the referral. Since alcoholics are usually great con artists and the supervisor is naive in this area, any other approach can eventuate in the alcoholic convincing the supervisor that it is the supervisor who has the problem. Or the supervisor feels sorry for the employee and agrees to help out or cover up in ways which only prolong the alcoholism and defer real help. Promises, idle threats, resolutions and bargaining are most ineffectual here. The supervisor should never ask why; stick to facts, not reasons. Moralizing and debating with the employee are to be avoided.

Forced Treatment Works—But doesn't the alcoholic have to hit bottom and want help before it is effective? This myth has been thoroughly exploded by occupational programs. Actually, it has long been known that most alcoholics come into treatment under some duress: threat of job loss, divorce, ruined health or the like. Nobody seeks help if there is no problem. A director of one large and successful treatment facility in the Midwest stated that every patient came in angry at being forced into treatment, but left grateful that somebody cared enough to act for his own good. Research is not unanimous on the point, but most evidence suggests *higher* rates of recovery in forced treatment. This, of course, may be at least partially due to the earlier arrest of the illness. The real danger is that not only the spouse but also fellow workers and immediate supervisor will deny the problem or cover up for the alcoholic, shielding from higher management in a misguided form of help which may actually be lethal. Whether it is called "tough love" or *constructive coercion*, the experience of many programs confirms the fact that forcing an alcoholic into treatment as an alternative to job termination is saving jobs and lives.

Part of the policy, clearly promulgated and then rigidly adhered to, should be a statement on relapse. The Great Northern (now Burlington Northern) policy explicitly provides for rehiring once only, with no exceptions. Experience has shown that deviations from such a policy backfire and create worse problems. With this policy, they reported 88% success in their overall program with over 2,000 cases.

Confidentiality—A most important feature for the credibility of any program is that the employee must know that seeking help will not hurt a future career. In some programs the office and records are in the home of the alcoholism counselor, and in any case should never be part of the personnel file. This is not the same as the anonymity tradition of A.A., but there are some common features. The fact that the supervisor referred the employee to a counselor is a matter of record, as is any subsequent job improvement or deterioration. But the diagnosis or nature of the treatment is strictly between the counselor and the employee, and even high management has no right to that information. Exception could be for proven imminent and serious danger to a third party, or to the employee himself or herself.

The above of course will vary with conditions and is sometimes governed by law, but every effort should be made to protect the individual seeking treatment.

The Family—It is almost pointless to treat alcoholism and ignore the family environment in which the recovered alcoholic must live. Since the trend is toward family involvement in all treatment, occupational programs should be no exception. The counselor, of course, must have the employee's permission to contact the spouse. This is usually granted once a good relationship has been established and the client is assured that cooperation is to his or her benefit. In some programs the alcoholism counselor and spouse form an AA and Al-Anon team, which has proven very effective. Family group sessions can add much to a program. Special provision for child care may be necessary.

Alcoholic Spouse—The program ideally should provide for the alcoholic spouse of a nonalcoholic employee. This is related to work performance. If the alcoholic calls frequently during business hours, or is just on the employee's mind as a source of worry, this cuts down efficiency. The employee is afraid or unable to take a trip for either vacation or school business, for fear the alcoholic will burn down the house or have an accident. One is ashamed to bring the alcoholic spouse to the office party. If there are children, the anxiety is increased. Al-Anon and Alateen can be a major asset to any alcoholism rehabilitation program, without adding to the budget.

Followup—It is not sufficient to refer the alcoholic employee to the proper help. The counselor must keep in contact for at least two years, being careful not to give the impression of spying or mistrusting. The contact should be friendly, encouraging, with the offer of help on any of the myriad problems which can linger after recovery. Legal, medical, family and financial problems may plague the recovered alcoholic for some time.

Renewal—An on-going training program is needed to bring new supervisors in line with the policy and sharpen the referral skills of all. Promulgation to new employees and an occasional reminder for the entire organization, should always be a function of the program.

A much-neglected need is counseling for the supervisors themselves. Like the spouse, the supervisor at any level may become emotionally involved in the problem, get caught up in the alcoholic's denial system, develop denial that the supervisor himself or herself may indeed be part of the problem, experience guilt or anxiety and be inept at handling the situation when the alcoholic returns to work from treatment. Even when well trained in confrontation and referral, the supervisor may need individual counseling and help with these and other problems.

Referral Procedure—But to whom does the supervisor refer troubled employees? Unfortunately, it cannot be assumed that the average counselor, nurse, psychologist or physician has the specialized knowledge and training to deal with alcohol and other drug addiction. It must be someone who knows not only the early signs and patterns of progression, but also the tricks of denial and manipulation by which an alcoholic can usually outmaneuver the unwary professional. Regardless of profession or title, one must be prepared to recognize that up to 90% of the problems referred may be due to chemical dependency. Above all, one must not fall for the rationalization that the problems caused the drinking, when really the drinking caused the problems.

One should not try to play God, but use the resources available in the community: hot lines, community alcohol centers, local NCA affiliate, Alcoholics Anonymous, or whatever. Help is always there. Friends, perhaps fellow teachers, who would not dream of ignoring early stage cancer because "it's not that bad yet" need to take a second look at their tendency to ignore excessive drinking.

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Section Four

Controlling

9

Quality Circles in Educational Administration

John J. Lane

RECENT surveys indicate that the Japanese rank first in a number of areas: number of patents granted each year; number of novels published; mastery of foreign languages by high school and college students; test scores in math and science; and the quality of goods and services in transportation, communication, consumer products and electronics. A constellation of factors contribute to current Japanese superiority in these areas, but one of these factors that is both culture-free and available to every nation is the Quality Circle. Unlike the other techniques reported in this book, Quality Circles involve trained leaders utilizing seven special techniques. Advocates claim that Quality Circles have exceptional potential to reduce costs, improve morale and increase overall school district productivity.

According to Don Dewar, pioneer in the development of Quality Circle activities, a Quality Circle is a "group of people who voluntarily meet together on a regular basis to identify, analyze and solve quality and other problems in their area." Writing from the perspective of the administrator, Larry Chase (1983) defined the Quality Circle as a "participative management tool designed to systematically harness the brain power of employees to solve an organization's problems of productivity and quality." It can be seen that both definitions underscore the involvement of staff members in the solution of organization problems.

Quality Circles developed in Japan about 20 years ago under engineering professor, Dr. Kaoru Ishikawa who successfully blended the well-known theories of behavioral scientists like Maslow (Hierarchy of Needs Theory), Herzberg (Two-Factor Theory of Motivation), and McGregor (Theory X and Theory Y) with the quality sciences introduced to Japan by Drs. Deming and Juran in the 1960's. Since that time, over 4,000 organizations of all stripes and colors have implemented Quality Circle systems.

Until recently, North American school administrators have not encouraged the use of Quality Circles. Scholars and practitioners suggest that the reluctance of administrators to engage in Quality Circle processes derives largely from fear of sharing power, implicit in participative management, and the large investment of time required to make Quality Circles function effectively. These fears are understandable but not well founded. There is no doubt that Quality Circles alter teacher/staff/administrator relationships, but the employee's sense of com-

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mitment, ownership and concern for the good of the total organization—principal benefits of Quality Circle processes—can virtually eliminate petty vested interest power struggles. Second, some administrators assume that the investment of time required to implement Quality Circles is too high a price to pay. The reality is that once the Quality Circle process has been initiated, the process requires no more than one hour per week. However, without underestimating the differences that exist between business and school organizations, a growing number of school administrators are experimenting with the process that, in an era characterized by public distrust of the schools, promises to improve the productivity of teachers, administrators and others who support the school system.

In operational terms, Quality Circles are closely integrated systems involving: members, leaders, facilitator and a steering committee. Ideally, Quality Circles contain seven or eight, but never more than 15 members who meet once per week for an hour. Flexibility is possible. Some Circles meet twice a week for a half an hour. Circle leaders, in the initial stages of Circle implementation, are often middle-level supervisors. Experience indicates that as time passes, leaders are often selected by the members rather than appointed by the central administration. The prinicpal function of the leader is to involve all members in the activities appropriate to each of the steps in the Quality Circle process. The facilitator or program coordinator is responsible for training Circle leaders and coordinating the efforts of other Circles that may exist within the organization. Ordinarily speaking, in a school setting, the facilitator reports to the principal or superintendent. Responsibility for the overall functioning of the process belongs to a Steering Committee. The Steering Committee sets goals, objectives and operational guidelines. Typically, Steering Committee members are representatives of the major divisions within the organization and the facilitator. Finally, at the earliest stages of Circle implementation, it is usually helpful to use a consultant well-versed in Quality Circle processes and group dynamics.

Q C Objectives—Dewar indicates that the particular objectives of Quality Circles are to:

- reduce errors and enhance quality
- inspire more effective teamwork
- promote job involvement
- increase employee motivation
- create a problem-solving capability
- build an attitude of "problem prevention"
- improve company communications
- develop harmonious manager/worker relationships
- promote personal and leadership development
- develop a greater building safety awareness

Of course, all school administrators, in varying ways and degrees, seek to achieve these objectives. But Chase cautions that Quality Circles are quite different from the typical committee meeting or task force commonly used in education. In particular, Quality Circles involve four essential steps that are followed almost ritualistically: problem identification, problem selection, problem analysis and recommendation to management.

Similarly, in each of the four steps, a number of experience-tested techniques are employed recurrently:

- structured brainstorming and voting
- data gathering
- statistical checksheets, histogram, control charts, scatter diagrams
- cause and effect analysis (Pareto analysis)
- problem analysis/solution search
- presentation techniques
- evaluation

While most of these techniques are well known to school business administrators, a few require clarification. Brainstorming provides each member of the Quality Circle in round robin fashion an opportunity to identify a problem or, in subsequent steps of the process, a cause or a solution to a problem. Originality and enthusiasm are encouraged. By virtue of the rules of Round Robin, no member has to defend his or her opinion; everyone gets to participate without fear of criticism, ridicule or negative feelings. Educators are more experienced than most other workers with the use of brainstorming techniques. On the other hand, educators rarely engage in the voting process that, in Quality Circles, is an integral part of brainstorming. Chase (1983) describes a two-level approach to voting used in Quality Circles. The first vote decides which of the issues raised warrants further examination. The second vote determines the priority or rank order of the problems to be solved. Remaining high order issues are deferred to future meetings. Thus, it can be seen that during the first few meetings, the Quality Circle agenda for the entire year may be set. On the average, Quality Circles tackle four to six problems a year.

Data Gathering—Quality Circles often require a variety of kinds of information to assist members with their deliberations. Although sophisticated statistical techniques may sometimes be needed, often simple surveys, checklists and sampling procedures suffice. Obviously, computers have simplified the process of aggregating, storing, and retrieving pertinent information.

School business administrators can play a major role in the data-gathering process of Quality Circles. It is generally the business manager who has the most experience with and easiest access to the quantitative data sought by Circle members.

Cause and Effect Analysis—Cause and effect analysis provides a systematic, rational approach to problem solving. By means of a variety of techniques like fishbone diagrams, workflow analysis, force field analysis and job target analysis, circle members are in a position to determine the real or root cause of a problem. During the course of cause and effect analysis, a great deal of "education" takes place among group members. For example, it is not uncommon during this phase to hear a member say, "But I didn't know that I was responsible for that." Thus, during this phase, job descriptions may be clarified, expectations revised and communication improved.

At this critical stage, Quality Circles often employ the Pareto decision analysis technique. Named after Vilfredo Pareto (1848-1923), the Italian economist and sociologist, the technique assumes that major problems can be distinguished from minor problems. Pareto maintained that only a few key variables account for 80% of the effectiveness or ineffectiveness of an organization and that all other variables combined affect the remaining 20%. Using information gathered during the cause and effect analysis and especially the data-gathering stages, Circle members prepare a Pareto bar graph which dramatically highlights the true cause of problems.

Process Cause and Effect Problem Analysis—At this point in the process, solutions to problems are sought. Quality Circle procedures previously discussed (brainstorming, voting, and data gathering) may be used again. In the problem-solving process, the school business administrator has a special role to play. For example, as proposals are made, a cost/benefit analysis is needed to weigh the relative effects of each solution.

Management Presentation—A management presentation involves all members of the Circle, management and guests such as technical specialists. Management presentations are intended primarily to promote communication, improve morale and secondarily, develop workers' (teachers and staff) ability to interact in a constructive manner with management. The presentation provides an opportunity for management to acknowledge the involvement and contribution of employees to the solution of a problem. Perhaps more than anything else, the presentation provides credibility in the workplace. Arnold Judson, strategic management consultant, writing recently in the *Harvard Business Review*, indicates that credibility "stems from a belief that the problem has been carefully and comprehensively studied and that the major levers of change have all been identified. It comes as well from the direct involvement of managers working closely together to draw up explicit—and realistic—action plans."

It may be useful to consider to what special school problems Quality Circle methods might be applied. One school district greatly improved its bus routing by means of Quality Circle techniques; another increased profits in the cafeteria and bookstore. In fact, Larry Chase lists over 75 school uses for Quality Circles ranging from curriculum articulation between grade levels to improving communication among all the school and central office and from monitoring costs of major heating and maintenance functions to keeping the lunchroom clean. Participants in Quality Circles may involve a variety of school personnel from a number of areas: teachers, principals, school business managers, library aides, central office secretarial staff, custodians, bus drivers, food service workers and board members. It may be that certain problems will require community representatives or school volunteers other than board members. Objective perceptions of the school held by such individuals can provide refreshing insight into problem analysis.

Of course, management will not always agree with the solution to problems proposed by members of the Quality Circle. Nonetheless, it has been estimated that in industry an average of 95% of the recommendations made by Circles have been implemented. For the present, one can only speculate about the success rate.

Quality Circles, like other techniques described in the volume, are not panaceas. That is, the Circles alone will not solve all the quality problems recently surfaced, say, by the spate of task force reports on schooling. Also, quality circles are not designed to handle such sensitive issues as hiring, firing and policy development issues which are the special province of school administrators. But Quality Circles, unlike many other managerial techniques, have several characteristics which should make their implementation especially appealing to school administrators. First, a Quality Circle has the potential to improve the quality of worklife by improving efficiency and effectiveness. People who are allowed to be effective are more satisfied with their work. Second, a Quality Circle provides opportunities for creative individuals among faculty, staff and central office to contribute to the overall improvement of the school system in a constructive way and on a regular basis. Third, a Quality Circle provides an opportunity for an administrator to interact with teachers and other school personnel in a positive, proactive way, thus diminishing potential sources of misunderstanding and conflict. Finally, Quality Circles provide unusual opportunities for staff inservice training in problem solving, group participation and formal presentation skills. In short, the Quality Circle is one Japanese import Americans need not hesitate to buy.

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10

Operations Management Techniques

Bruce Aldrich

OPERATING and maintaining a school system in today's complex economic environment is big business. It would not be stretching the point to say that in many areas the local school district (elementary, high school or college) serves more clients, employs more personnel and operates with a larger budget than most private businesses within the same geographic boundaries. There is still a tendency, however, among citizens, to not want the school system compared to the business sector, preferring to keep the schools apart from the secular world. This tendency is rapidly eroding as steadily diminishing resources and close public and private scrutiny are focusing attention on the operation of the local school systems and strengthening the demand for greater accountability on the part of those who govern and manage the institutions.

This attention is forcing a new and critical look at the operating practices of the past with the realization that the old ways are over and what was appropriate then will not survive the demands of the 80's. That is not to say that practices employed in the past were not successful at some point in time, only that they are not successful in the present. Presumably, those management techniques currently regarded so highly will not be applicable in future decades. In any time and place, the successful operation of a school system depends largely on good management and good management techniques. Management that is right for the social and cultural environment of the age.

Theories of management, much as the theories in any other discipline, need not be proven accurate to be useful, but simply provide as Greenfield, (1974) stated a "set of meanings which people use to make sense of their world and behavior within it." The statements which follow will make many unproven and perhaps unprovable assumptions about the operation and management of today's school system, assumptions which are only suggested as being valid in that they help explain some of the common and observable phenomena of today's school system. (Stevens, 1976) Each of the three components will be viewed independently as well as in its relation to the organization as a whole. Within this framework, each of the three components will be seen as capable of being managed for the good (as well as to the detriment) of the organization, and in each case responsive to the effects of sound management practices.

In every instance, the manager will be assumed to play a substantial and necessary role in the successful operation of each individual element, as well as carrying the burden of responsibility for the overall achievement of the or-

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ganization. Upon investigation of each component, an attempt will be made to synthesize the elements into a concise and workable conclusion.

Structure

The first essential component of the operating system will be referred to as its structure and includes the underpinnings or basis of the entire organization. This structure is composed of all the resources to the organization. These resources are the lifeblood of the system without which it could not exist. They involve three obvious and broad categories of the financial, physical and human resources available to the organization.

These resources can be viewed as being fixed in nature, and thus used as is or as something which contains potential in varying degrees and must be manipulated by those who are able to perceive the latent value. Many crucial resouces are relatively fixed and predictable. Financial resources which support the school system, for example, are usually derived from known sources and are available in readily anticipated amounts. Funding levels may change from year to year, the local tax base may vary, governmental grants may be available in greater or lesser amounts, but it is the rare district, indeed, which receives a sudden and unanticipated financial windfall. Even with the revenue available to a school district, there comes some restrictions as to when and who and for what purpose it may be allocated. Fund accounting and specific tax levies also restrict the free use of revenues.

School buildings and other forms of real property comprise the largest single component of the systems assets and, while appearing to have little flexibility as a resource, they may in fact be quite adaptable to modification to meet a variety of situations and needs.

The third resource category, the human component, provides the most valuable and adaptable ingredient: students, teachers, support and clerical staff, administrators, the governing boards and members of the larger community.

All three categories make up the raw material on which the system is constructed. Each category must be evaluated individually, and in combination with each of the remaining two resource components, before one can begin to see the true potential of what we have to build upon. Too often, school administrators do not spend the necessary time analyzing the scope and nature of these available resources and thus overlook valuable assets which can be used to increase productivity and enhance quality. Perceptual limitations may hamper our ability to grasp the highest and best use to which a resource may be put. An individual wandering lost in the woods may pass by many edible plants totally unaware of their life-sustaining qualities. So, too, can a limited and constricted perceptual view of the resources at hand lead to stagnation and ruin for the unaware manager.

All available resources must be carefully analyzed by the school business administrator in a variety of combinations and recombinations before one can prepare an operational plan for the total organization. Often, this initial analysis will produce insights into the nature of problems which had previously defied solution. However, to be most effective, this analysis must be undertaken with a clear conceptual view of what it is that the institution is about. What is the goal and purpose of what we are doing? This vision will shape and structure our perceptual field and this perception, once formed, will in turn influence our behavior. One's perception soon becomes reality and how the glass is seen—half full or half empty—will ultimately lead to a philosophical basis upon which our institutional decisions are made. Psychologist Arthur W. Combs, describing his research to determine just what factors separated the good from the poor practitioners in the helping professions, concluded that it was not the amount of knowledge or methods but rather the belief system held by the individual. In illustrating this point, he related the anecdote of a school principal escorting a tardy and slightly confused first grade boy to his classroom which was already in session. When the teacher saw the two open the door and enter the room she said "why, Joey, it's so good to see you. We were wondering where you were. Do come in. We've missed you so". Whereupon the little boy ran in, gave the teacher a hug and went to his seat. Clearly, this teacher understood that little boys were important in this situation. What would have been her response had her belief system told her that in this situation administrators were the most important? Or lessons? Or discipline? Or tardiness? (Combs, 1970) How well the administrator is able to perceive the potential value of the resources available to him or her and how they might be used for the benefit of the school system will, to a large extent, determine the success or failure of the organization.

Product

This second component refers to the manner in which we, as managers, intend to work with and apply those resources available to us. This component is made up of the systems policies and procedures under which the organization operates. Policies are the more formal of the two and comprise the official goals and objectives of the institution and usually go through a rather systematic adoption procedure. Broadly characterized, these policies serve to define the purpose of the organization, including the roles and responsibilities of the human components as well as the mechanisms by which conflicts are resolved. Policies also set out operational objectives and mandates to ensure compliance with generally accepted standards or organizational behavior. However, institutional procedures are those often loosely codified practices which govern the day-to-day functioning of the system. Procedures are often developed spontaneously in response to an immediate need and, once employed, tend to be self perpetuating. Procedures are useful in that they are easily invoked in response to a request or situation encountered infrequently so as not to necessitate the drafting of a policy to cover such occurrences. Procedures, then, remain flexible enough to disregard "just this once" if such an action will prove expedient. Individual board members, it seems, are generally accorded the privilege of having procedures custom tailored to their immediate needs and desires. The net result, however, of having institutional policies and procedures is to set the goals of the organization. How an organization is viewed internally and externally is largely determined by the daily application of these formal policies and less formal procedures. Again, using the example of that first grade teacher's response: what we, as administrators and managers, view as being important and how those beliefs are transformed into decisions in response to new and critical situations will quickly become the manifestation of the systems' values and goals.

When seen from the point of view of the chief school business official who is responsible for the overall coordination and functioning of the operations side of the organization, this question of interpreting procedures becomes critically important. This individual, by whatever title he or she may be known, is often placed in a paradoxical situation. On the one hand, this person is charged with the efficient and effective manipulation of scarce resources while maintaining an obligation to adhere to strictly defined legal and practical business standards. This charge often brings the manager into conflict with other members of the school community who find those same constraints inconvenient and frustrating and often produces internal stress when close adherence to these necessary rules and regulations contradicts a personal desire to be helpful. While this dichotomy cannot always be satisfactorily resolved, it is important that the business official or operations manager realize that the functioning of these areas are service oriented and exist to support the needs of the total organization and those of the individuals operating within the scope of that system. This viewpoint holds that the operation of the business office does not function as an entity unto itself, but rather as a means by which to serve these institutional and individual needs. Here again, one's perceptual field will come to the fore and determine what is of importance. The philosophy supported here is that people must take precedence over paper and that the needs of the system users must be paramount when carrying out the everyday operations of the business office. All too often, the functions of the business office are seen as a hindrance and obstacle to "getting things done" rather than as a contributor to this process. In fact, it is not unusual for the business office to place a false sense of financial economy above the human side of the ledger. In a case which occurred recently in a small elementary school district, the business manager sent out a memo to the building custodians informing them that salt was not to be applied to any walkways prior to December 15th. The reason given was that the price of salt was increasing and it would produce a cost saving to the district if none were used before that time. An early morning storm on the morning of the 9th resulted in all the school building sidewalks being covered with ice, and it was not until several staff members and many children had fallen that logic and force prevailed, resulting in the spreading of salt. Clearly, the business manager lost sight of the true mission of his office. It was not as he perceived it, to save dollars regardless of the human cost involved, but rather as a means to serve the greater good of the total system. Saving salt is not more important than preventing personal injury. The following section will explore the aspect of who manages the operations and the manner in which it is accomplished.

Process

The third component refers to the methods by which the other two areas, structure and product, are manipulated to the benefit or detriment of the organization. It will focus on the role of the chief school business official as the one person responsible for the overall direction and operation of the nonacademic areas of the school system. This administrator must wear many hats in his/her daily activities as resource coordinator, decision maker, controller and conflict manager. Ultimately, however, it must be remembered that these tasks are successfully undertaken and achieved with/through the efforts of other people within the organization. To this end, the business administrator must be highly skilled in managing the most important resource of all—people. The effective manager must also be able to perform other essential roles such as determining and stating objectives, organizing and planning the necessary work components to achieve these objectives and, finally, implementing the programs and evaluating the results. These skills are normally presupposed of any individual in such a top-level managerial position. What is not so clearly practiced are the skills associated with performing these functions within the human framework existing in the organization.

Basic to this process is the underlying belief in the desire of human beings to achieve and their ability to assume responsibility for this achievement. This philosophy, of course, is the foundation upon which Douglas McGregor built his now classic Theory Y which was postulated in his book *The Human Side of Enterprise*. Without exploring the Theory X vs. Theory Y question which has been commented upon in greater detail elsewhere in this book, it suffices to say that the preponderance of current thought and managerial style is predicated on the validity of Theory Y. Workers are motivated to a greater degree through internal drives than external forces or constraints. The successful manager, therefore, must recognize these forces and orient his or her behavior accordingly.

Despite best intentions and most enlightened management techniques, conflicts will arise in the workplace as surely as they do in one's personal life. Conflicts can no more be avoided than can death and taxes, and oftentimes it seems easier to confront death and taxes than it does to face conflict. Nevertheless, the manager must, at some point, recognize the reality of organizational conflict and the necessity of dealing with it. The sources of such conflict are either substantive in nature, having to do with such institutional issues as policies, procedures and job responsibilities, or emotional in origin, having to do with interpersonal disagreements and animosities (Schermerhorn, 1984). These conflicts are often the result of one or more of the following (Hart, 1983):

- unmet needs
- differences in value systems
- unclear or unconfirmed expectations
- differences over how to attain the same goal

Although inevitable and often destructive to the attainment of organizational goals, conflict may also have its positive and constructive aspects. Conflict is considered by Hart to be destructive when it results in lowered morale, polarizes and reduces cooperation between groups and diverts energy from more important tasks. At the same time, he views conflict as constructive when it results in problem solving by opening up and clarifying important issues and increasing individual involvement through the resolution of the conflict areas (Hart, 1983).

Whether conflict works to the benefit or detriment of the organization depends on two things. First, the nature and intensity of the conflict, and second, the manner in which it is managed to resolution. Conflict should be viewed in a homeostatic context in that deviations from the norm, from too much to too little disagreement are to be expected, and at times healthy. The tendency, however, will be for the organization to seek a relatively stable environment at or near the point of equilibrium.

The operations manager, by virtue of having several persons reporting to him, will often be called upon to resolve these conflict situations. There are two role options available to the manager in this case.

One is to use the authority inherent in the position to settle the dispute by executive fiat. This may result in a win-lose situation, but if approached by the manager from the point of view of solving a problem impartially and in the best interests of the system as a whole, the resolution can be seen as fair even if it is not to the satisfaction of one or the other parties involved. Unfortunately, it is not always possible for a manager to settle all disputes in such a manner that the conflict is completely resolved, settled perhaps, but not nexessarily resolved.

The second role available for the manager to play is that of a facilitator. In this instance, both individuals or parties are brought together for the purpose of allowing them to decide their differences with the guidance of a manager. This is a very difficult role to perform and is most successful when the manager has a strong belief that conflict can be resolved through this type of intervention. In addition, it requires the necessary sensitivity and interpersonal skills along with the patience to persevere in the face of intransigence and hostility. In such a role, the manager must strive to facilitite the exchange of feelings and concerns between those involved. This is a demanding and delicate task in which the following hints may be of help (Schermerhorn, 1984).

1) Select a location where you can give your full attention to the matter without fear of interruptions.

2) Anticipate either silence and reluctance to speak or hostile, confused and negative expressions.

3) Allow these feelings and emotions to be expressed without adding your own value judgment to what is being said.

4) Listen to the comments being made and hear the feelings, emotions, perceptions and beliefs expressed.

5) Try to emphathize with both parties.

6) Develop a skill for reflective listening. Open-ended questions such as "Sally, why do you think Bill feels they way?" or "Jim, how do you feel about what Honore just said?" can be used by the manager to facilitate the flow of communication as well as encouraging both sides to look at each other's viewpoint.

The ultimate goal here, of course, is to provide a setting whereby both parties can air their differences and attempt to resolve them without a third party having to impose a solution which may not reach the essence of the original dispute. This role, however, as stated previously, is a delicate one and takes great skill in order to play it successfully.

Conflict is an inevitable consequence of human interaction and will certainly demand management involvement at some level. The manager can choose to ignore conflict in the futile hope that it will simply disappear through such inattention, or choose a more realistic and healthy course of action and confront the source of conflict and deal directly with those individuals involved. With some basic conflict management skills and a creative outlook, these disagreements can be turned into a positive force for organizational growth and stability.

Conclusion—The preceding sections have dealt briefly with the various roles of the person responsible for the overall operations management. In this capacity, we have explored the three elements common to a school organization as a whole and how each component, the what, the how and the who can be managed to best serve the beneficiaries of the institution. In each instance, however, a single overriding concept is evident: the ultimate dependency on the people within the organization or its success for failure. A successful organization is the result of successful people working together for the common good of all. Organizational failure is the by product of management's failure to successfully motivate and direct those people within the system. It is of interest to note that when Peter Drucker (1973) states "The purpose of an organization is to enable common men to do uncommon things," he uses the term "enable" to make his point. He did not use the word "force" or "let" but rather "enable." This single word used in context properly conveys the spirit and conviction that people within an organization should be given the capacity to do great and uncommon things. It is therefore encumbent upon an organization's managers to do this enabling. People will act and react as they perceive themselves to be either the recipient of positive or negative reinforcement and this perception then is the true reflection of how well the organization has conveyed its sense of value and purpose. True management control lies in the ability to direct the organizational resources, policies and people to be in accord with on another.

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Section Five:

Directing

11

The Management Team: A Positive Domain

John J. Pedicone

THE MOST GENERAL AND FUNDAMENTAL PROPERTY OF A SYSTEM IS THE INDEPENDENCE OF PARTS OR VARIABLES...THERE IS ORDER IN THE RELATIONSHIP AMONG THE COMPONENTS WHICH ENTER INTO A SYSTEM. THIS ORDER MUST HAVE A TENDENCY TO SELF-MAINTENANCE...

(Parsons & Shils, 1951)

HOW organizations are managed has been a subject of studies for many years. The quest for the definitive description of a purely effective system has led researchers to aim their mutable focus from the individual to the institution and toward every variable which might affect either. The evolution of systems theories led to several arrangements, the earliest of which became known as traditional from which emerged a business-industry model. This industry-specific approach to management became the dominant structure used by school districts and other institutions in the human services field, "the assumption being that the same theories and practices applied" (Joneward, 1982).

Krouzes and Mico (1979) examined the relationship between businesses and human services organizations and found that some basic differences exist which require specific approaches. Since these organizations have as a primary function "to define or alter the person's behavior, attributes, or social status in order to maintain or enhance his or her well being" (Krouzes and Mico, 1979), they are directed at goals and objectives not shared by the industrial approach. A "Domain Theory" has emerged to describe the interactive forces which comprise the school system. The policy domain, the management domain and the service domain exist, each operating by different and contrasting principles, measures of success, structural arrangements and work modes. "Interactions between these three domains create natural conditions of disjunction and discordance" (Krouzes and Mico, 1979).

The factors existing within the school organization causing it to be disjunctive and discordant stem from these domains. Disparity of identities, interests, perceptions, uncertainty and struggles for power and control exacerbate attempts to bring the institution to order. The loosely coupled organizational

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domains, each having identity and separateness and yet forced into action with every decision, create very obvious problems for educational institutions.

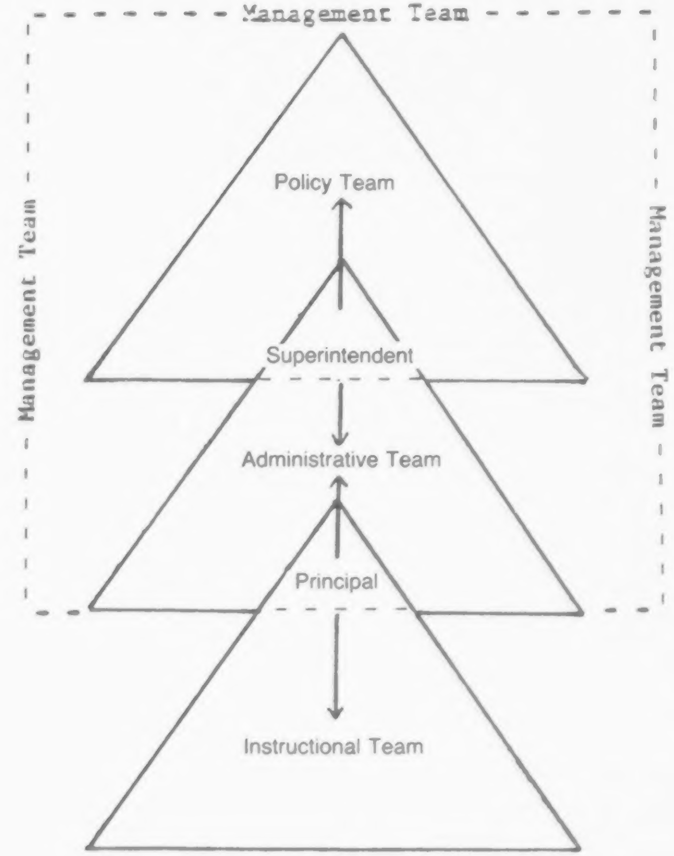
Systems theory suggests that there exists a dynamic and often counteractive interaction between individual and organizational goals and needs. This implies that the most effective organization is one which brings these two system dimensions into harmony. To survive, organization must constantly define its direction and move toward utilizing all its resources in harmony. The individual within that framework must reach her/his fulfillment in the function and growth of the organization.

This fundamental understanding further complicates the process of bringing educational institutions to a congruent operational mode when the individual within each domain is expected to find rewards by incorporating personal fulfillment into organizational thrust. The complexity of this conceptualization indicates a need for increased communication and a viable structure whereby differing perspectives and identities can move toward common goals utilizing strategies developed to implement and accomplish them. Bainbridge and Evans (1982) state that individuals tend to "work more willingly toward the fulfillment of organizational goals when personal goals are fairly congruent" and this can be more easily expected when members believe that they have the ability to influence organizational decisions.

The Management Team Domain—Few concepts have received more attention in school board and administrative publications in recent years than the "Management Team" approach. In team management, administrative levels continually communicate to identify clear goals and achieve consistent and effective decisions. Individual team members are afforded opportunities to make meaningful contributions to organizational goals, and decisions are based upon relevant and special input from sources within each interactive domain. The cohesiveness of decision making increases and coupling tightens to bring disjunction and discordance to a minimum. Individuals are called upon to represent the concerns of their constituencies and resolve differences through compromise. This team approach to management sees the birth of what Joneward (1982) calls the "Management Team Domain...where communication, inquiry, and experimentation are developed and nurtured...(and) an organizational check and balance system would develop."

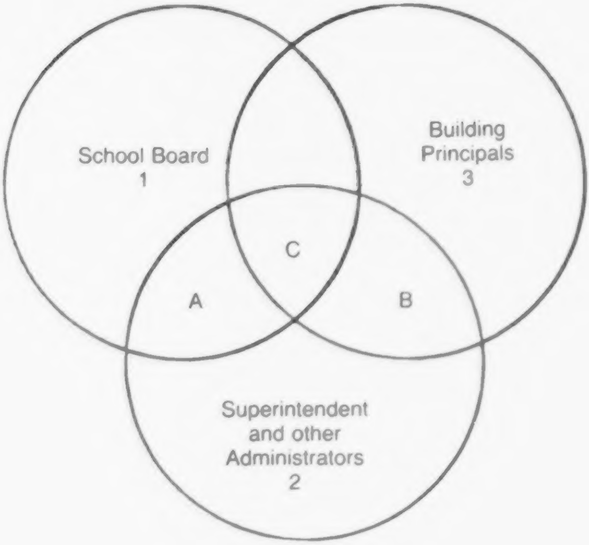
Definition—The concept of team management has been defined in various ways. Definitions of the concept often describe membership and at other times deal with function. The principle of supporting relationships, group problem-solving and decision-making methods, and high-performance goals as a basis of operation (Svenning, 1970) is an example of one approach to describing the team concept. "A task-oriented group...representative of the important subsystems of the organization, which holds some organization goals in common, interacts to a formal role structure, and has a sort of reciprocal influence over one another" (Schmuck, 1974) is yet another example. Duvall and Erickson (1983) define team management as "a group whose role is formalized and legitimized and whose purpose is problem solving and/or decision making." While this definition seems to include attributes of both former attempts and simplifies the concept to a basic functioning mode, the following serves to further isolate the structure of the management team as it operates in educational institutions: "A deliberative group consisting of the board of education and the administrative staff organized to assure a high degree of communication and input from those persons who will implement and be influenced by management decisions within the school district'' (Milstein and LaFornara, 1980). In this definition is inherent the three domains of policy: the board of education; management, the administrative team; and service, the instructional team. These three teams are joined by ''linking pins'' as depicted in Model I. In this model, key individuals link the three separate domains together, serving to bring continuity to the system. The superintendent communicates information upwards and downwards to both the policy and management domains, as the principal serves that same integrating function with the management and service domains. ''While the operation of schools is carried out through the interaction of several

Model I
Basic Management Team Model


Management Team
Management Team
Management Team
Policy Team
Superintendent
Administrative Team
Principal
Instructional Team

Likert, 1980

Model II
The Educational Management Team



Joneward, 1982

teams, the management function is carried out by the policy team and the administrative team. Thus, the uniting of these two teams constitutes the management team'' (Milstein and LaFornara, 1980).

The management team consists of members of the policy and management domains utilizing the principal as the linker for the service domain. A conceptualization of this focus can be seen in Model II.

While each of these groups maintain its own identity in function, the joining of members into a neutral forum generates a basis for shared purpose and common goals. Since in the traditional model, infrequent and informal communication often occurs between individuals within each group and with those of others, this configuration ``loads'' the perspectives of each group into a position whereby trust and confidence in each can lead to the planning and implementing of strategies toward a singular direction and affords members to feel that they can influence outcomes. Also, the nature of the team approach necessitates an informal structure, suspending strict levels of stratification and requiring members to have a high degree of respect for each other. This relationship is nurtured through two-way communication with each decision that is made, and the value of diverse input toward a common goal facilitates understanding between and among the three groups.

Essential Criteria—It is obvious that several criteria are essential for the successful operation of the management team. One look at the Likert model should suggest that the two most critical positions within the team are those of superintendent and principal. Their responsibilities are many, not the least of which is to bring to the team valuable information to serve as input and feedback to members of their individual teams. The relationship between the superintendent and the board must be clear and understood. The team does not require the board to relinquish its authority to make policy decisions, nor can it exist without the board placing faith in the superintendent to act independently as well as operate from a strong management perspective. The relationship between the principals and the superintendent must likewise be clear and understood. The recognition that the roles of these individuals do not blend into ambiguity and that the concept of oneness of purpose is not an indictment for the relinquishing of positions should be understood. In operation, the team approach encourages an authentic autonomy for members and understanding of individual roles since increased communication provides increased awareness of function and a more singular perspective. Communication outside the team approach between the board and the principal and, in large highly complex districts, between the superintendent and principals is often infrequent. These reltionships can be expected to improve as the team operates. Finally, the instructional staff often perceives the policy and upper management domains as "out of touch" with the daily operation of the schools. Few opportunities for awareness are grasped by members of either the policy or management domains in the traditional model and perceptual distances increase between them and the instructional staff. The principal as link can be viewed as a more powerful concept to instructional members since regular and frequent articulation will yield decisions representative of technical concerns and service issues.

Team Management Perspectives—Stewart (1978) stated, "An effective manager must know how to plan, organize, coordinate, motivate, direct, and control. Management is not a job; it is a profession...a dynamic, challenging, and often creative profession." Those of us who have held management responsibilities would agree that there is truth in Stewart's words. The team approach must be examined for its response to these and other responsibilities inherent in management. The involvement of several persons into practice when it is understood that often decisions are difficult and must be made at the expense of one or another point of view is not a simple task. Smith (1981) stated that, "It is important to promote mechanisms for these co-equals to coalesce into a working, productive team." Duvall and Erickson (1981), Milstein and LaFornara (1980) and others have examined school management teams and have identified a number of cautions to accepting team management as a panacea.

1) It is important to delineate in advance which decisions and policy areas remain the province of the board and top management as well as which are within the province of team management.

2) It is possible to mask autocratic leadership under the guise of team management.

3) Some managers will have difficulty operating on a team basis.

4) The team process is not appropriate for every decision. Often decisions arise requiring immediate action.

5) Initially, the team process requires more time until it is in operation.

6) It takes time to develop trust and openness between team members.

7) The management team can become too large and unwieldy to be effective.

8) Key policy makers and administrators will have to be willing to give up some previously held influence and power.

9) Larger organizations need interlocking management teams on various management levels.

10) Team management is not the means to easy solution of a variety of previously unsolved management problems.

11) Team management can mislead people to expect consensus in all directions.

12) Individual team members may experience difficulties when the group consensus is different than their own views.

Recommendations for Integration—It should be understood that a cautious approach to team management is recommended, as should be true of any system change that involves the operational standards in existence over time. One of the properties of a system is its movement toward equilibrium which enables a critical balance of energy to occur. This does not imply that successful systems are static or unchanging, rather that the changes applied to an existing system must be applied in a conscious and careful manner considering elements which hang in the balance. "The quality of the results depends on clearly specified ground rules, sensitive application of knowledge of group process, and a willingness to open decisions to a wider group of people" (Duvall and Erickson, 1981). Team management is not to be represented as an easier system, merely a more effective one. Its goal is not to reach complete and total agreement by all members within the team, but rather that everyone understands the issues at hand, has an opportunity to input, and is willing not to undermine the organization. An examination of the cautions should move the progressive organization to establishing criteria to increase the success of the system. The following recommendations are presented as essential for successful team management systems:

1) Define and clearly articulate the parameters of decision making within the team.

2) Maintain the importance of identity of domains while encouraging a wider understanding of the diverse perspectives.

3) Recognize the importance of individual initiative and creativity.

4) Hold as essential the principle that all individuals within the team have an opportunity to communicate and influence decision making.

5) Exhibit trust and confidence in each other.

6) Establish the understanding well in advance that the decisions which emerge from the team are based upon significant input and therefore represent the highest quality results.

7) Establish a system of team evaluation and subsequent training experiences in collaborative dynamics for all members of the group.

8) Recognize that weaknesses are in the personnel and not in the concept and organization of it.

Expected Outcomes—Team management, when introduced systemmatically and according to principles can become a powerful vehicle for educational institutions. "Teams can lead to better quality decisions, higher staff morale, greater support, and more efficient management" (American Association of

School Administrators, 1979). Joneward (1982) contends that through team management "controlled change can enter an organization in such a way that resources (people's energy, attitudes, etc.) become more available to an organization." Stevens (1982) contended that the co-equals team aproach can expect to give members of an organization conceptual power, feelings of professionalism in terms of decisions being timely and effective, and produce cost effectiveness in that a number of people's abilities and skills are utilized rather than one person's. Glatthorn and Newberg (1984) refer to the team approach to instructional leadership as a way of enabling administrators "to do what they can do best and carry out the functions that have the highest priority."

The benefits that a school district can expect to derive from an effectively implemented management team approach include the following:

1) Improvement in the quality and acceptance of decisions.
2) A greater sense of community among members.
3) Greater job satisfaction.
4) Increased communication.
5) Significantly higher levels of trust throughout the district.
6) Overall higher productivity of each of the three domains: policy, management and service.
7) Improved educational services for students.
8) Increased involvement toward a common goal.
9) Increased ownership for and commitment to the success of decisions.
10) Encouragement toward a nonadversarial relationship between members of the organization while maintaining identity of domains.
11) Cost effectiveness in terms of utilizing the greatest number of resources toward a common goal.

Conclusion—While the shift from the traditional mindset of how organizations best operate to a more comprehensive team approach may appear difficult to some and threatening to others, school districts who have recognized the uniqueness of the human services organization and have responded through this approach have found the configuration to be effective, efficient and productive. The relationship between organizational members has become more open, trusting and dynamic. As Stevens (1982) stated, "The co-equals team approach to planning, managing, and reporting has proven to be a successful and productive evaluation management model...one evaluator could not have all of the skills that a team would have." The benefactors of these reorganizations have been the students whose services have improved by more collaborative decisions and the power to implement essential changes to meet the needs of contemporary educational programs has been placed in the hands of those who can most effectively utilize it.

Summary—While an industry-specific approach to management has been the dominant approach to school management for some time, the awareness that some basic differences exist between educational institutions and business organizations has caused researchers to examine alternative approaches to human services management. Domain theory suggests that policy, management and service functions interact to create natural conditions of disjunction and discordance. The management team approach tends to bring these domains together and causes the emergence of the fourth domain, the management team domain. The team approach is an effective alternative to the traditional model and can be expected to be a more responsive vehicle for producing quality services through shared decision making.

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12

Team Approaches to School Management and the School District Business Manager: Promise and Constraints

John C. Daresh

IN this review of different management techniques that are likely to have an impact on the role of the school district business manager, it would be impossible to ignore the concept of the management team. This idea has enjoyed varyingdegrees of acceptance and popularity, and it certainly deserves some attention in this overview of alternative approaches that may be used to increase the effectiveness of the management process used in school districts.

This chapter will present an overview of some of the basic ideas related to management teams, including an examination of some of the more important advantages and disadvantages to this technique. Next, there will be a consideration of the specific issue related to the school business manager's role in participating as a member of a management team. Again, strengths and weaknesses will be noted. The chapter will conclude with some suggestions as to the ways in which contributions from business managers can be utilized effectively regardless of whether they serve as members of formal management teams.

Management Teams: Basic Concepts

The last quarter of a century has witnessed considerable attention paid by educators to the concept of teaming in schools. For example, we have seen an emphasis on team teaching as a way to bring together teachers of diverse talents and interests to share in the planning, carrying out and evaluating of instruction. There has also been an interest in collaborative arrangements that involve school personnel, parents and community groups for the purpose of creating partnerships as a way to solve educational problems of concern to many different interest groups. A third popular type of teaming is the one that serves as the focus of this chapter, namely the administrative or management team. This arrangement is one which brings together educational administrators to share their expertise and provide leadership to a school or school district. Incidentally, it should be noted that throughout this chapter, the term "management team" will be consistently used to describe the particular management technique of

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interest. There are some who make subtle distinctions between the use of the term team management and management team (Wynn & Guditis, 1983); but for the purposes of this chapter, no such differences are noted.

School management teams can be initiated at either the individual building or across an entire school district. A typical building level team might consist of the principal and his or her assistants. In some instances, department chairpersons or team leaders might also be included in a team, particularly in a senior high school where there are many opportunities for people to hold formal leadership positions.

At the school district level, there are two basic models for management teams. The first of these is an arrangement where central office or school district administrators are but part of a larger team that also includes building principals from throughout the school system. Obviously, this model has some limitations in that it cannot be used in very large districts where there may be 50 or more principals. To call such a group a "team" would be a farce. The second district level model provides for the establishment of a single district-wide team comprised solely of central office administrators. These two models are not mutually exclusive. Indeed, many districts employ both types of management teams and also encourage individual building principals to also make use of management teams in their own buildings.

Erickson and Gmelch (1977) have characterized the types of available management teams in somewhat different terms. They indicated that existing types include:

1) Horizontal or peer teams composed of the superintendent and his or her major assistants. Another example of this type might be a team composed of all the secondary school prinicipals of a district.

2) Vertical or household teams which would include representatives of different roles within the district. For example, a team might include the superintendent, a supervisor, an elementary principal and teacher and a secondary principal and teacher.

3) Staff teams which would include the superintendent and his or her staff.

4) Line teams which would include the superintendent and his or her line administrators.

5) Composite teams which include representatives of both line and staff positions.

6) Policy teams comprised of the superintendent and the school board.

7) *Ad hoc* teams established to make recommendations concerning topics of immediate concern. Members of such teams might be members of the district administrative and teaching staff, outside experts and community representatives.

8) Leadership teams, a modification of the vertical team and responsible for problem identification, the creation of necessary *ad hoc* teams and the official disposition of any *ad hoc* team reports.

In addition to these structural issues dealing with the composition and function of management teams, there are also two basic assumptions that are made when a school or district adopts a management team approach. First, it is expected that involving administrators to work on a team is a way to make effective use of the expertise of many who may have different perspectives on how to solve a particular problem or deal with a specific set of issues. The second assumption made is that when many different individuals are able to share in the making of decisions as a team, the ultimate successful implementation of the decisions will be assured because so many individuals have a sense of ownership in the decision. Whether or not these assumptions are supported in the actual process of utilizing management teams is certainly another issue. Instead of debating whether management teams do always lead to better decisions or whether team members always feel a sense of ownership, it would probably be more useful to present a brief overview of some of the basic advantages and disadvantages of management teams.

Advantages. An argument frequently made on behalf of the management team concept is that its use increases the opportunity for everyone in an organization to participate in the making of relevant decisions. Erickson and Gmelch (1977) noted that this argument continues to suggest that when people who participate in making decisions important to them are more likely to accept any resultant consequences from the decisions. As a result, an increased sense of motiviation will exist and this motivation will lead directly to greater employee productivity. Thus, there is a strong suggestion that the adoption of a management team or team concepts will not only have an immediate positive impact on employee morale, but also on the long-term benefits available to the total organization.

This positive view of management teams could also be translated into benefits to school district operations. The point might be made that when school district administrators join together to work as a team, decisions will be more acceptable and satisfactory to team members—they will "buy into" the decisions. Thus, support for the organizational process is increased and administrators throughout a school district will be more likely to support the direction of the schools, and the schools will be more productive and effective.

Another important advantage to be derived from the implementation of a management team approach to school governance is that such a strategy often results in reduced tension and aggression among the employees. What this suggests is that when teams are developed as a way to increase the degree of decentralization of the decision-making authority in schools and other organizations, the people within the organizations will feel less isolated from their superordinates and, as a result, feel a greater sense of kinship with those who have positions more elevated in the hierarchy.

A number of additional benefits have been attributed to the use of management teams and participative management in school districts. For example, management teams used throughout a district lead frequently to the sense that there exists in that particular district a more supportive and democratic climate because team members are respected regardless of their formal positions in the governance structure. This supportive climate, in turn, leads to a more effective school district. Also, tied to this is the observation that the utilization of management team approaches is a wise and effective use of the human resources talents available in the district. One final advantage to the use of a management team as noted by Gorton (1976) is somewhat more subtle than the other strengths. Gorton suggests that management teams enable administrators to form collective support groups so that they may solidify and better articulate the nature of their roles in the operation of the school district. This is an important issue in recent years due to the increasing strength of teacher associations and unions. There is a feeling that, without equivalent collective action on the part of school administrators through the formation of management teams, the delicate balance of power between teachers and administrators may be upset, thus negating the validity of the negotiation process.

An appropriate summary of the strengths and advantages found in the use of the management team concept by school administrators can be found in the following statement offered by the National Association of Secondary School Principals in 1971:

> *...[A]n effective administrative team has, in addition to its assigned legalistic and primary role of policy implementation, a vital leadership function to perform. Never before has more interest and concern been raised about the need for strong and united educational leadership. An effective administrative team provides a collective means of strengthening school district leadership, giving individual administrators needed assistance, opportunities, and job satisfaction (pp. 3-4).*

Disadvantages. It would certainly be an untrue picture if one were to paint a scene where the use of management teams is viewed as the ideal solution to every problem faced by school administrators. There are, of course, a number of disadvantages, problems and restrictions that need to be mentioned along with the numerous strengths we have already reviewed.

One of the most serious drawbacks to the implementation of management teams is that they can quickly turn into devices used skillfully by some superintendents to force a greater degree of conformity of thought among district adminstrators rather than promote creativity and divergence of thought. What this means is that if a superintendent and/or a school board are not truly committed to the spirit *and* practice of participative management as the primary focus of teams, there is considerable likelihood that the proceedings of management team meetings will be little more than sessions designed to coerce participants into publicly supporting decisions which have in fact been already made by the superintendent and board.

In this regard, one can think about similarities between school administrators' management teams and the comedic scenes showing the president of a large company surrounded by an army of "yes men" lackies who serve to support and legitimize only what the boss wants. The fact is that an effective organization or school is one where differing opinions are respected—where a lot of people have a lot of good ideas that they should be able to share openly and freely. If a management team serves as a way to confine the good ideas and promote only the superintendent's ideas, something is terribly wrong.

Erickson and Gmelch (1977) note another major weakness in the use of management teams. Without any question, they are considerably less efficient than approaches to administration where all decisions tend to be made by one person. It takes much more time for a group functioning as a team to reach consensus and make a decision than it does for one administrator acting alone to make decisions. Given the tremendous pressures of time that face school leaders, this is no small issue.

A third problem that may occur regarding the implementation of management teams, although not truly an inherent disadvantage, may be seen as yet one more reason to avoid participative management practices. The fact is that management teams will be nothing more than shallow exercises in futility unless there is an "existence of an atmosphere of mutual trust, cooperation, and open communication among team members" (McNally, 1973, p. 23). If the superintendent and school board are unsuccessful in creating this spirit of trust and openness, the creation and use of a management team may in fact do more harm than good to the operation of a school district. If people are told that they are to work as a team while they are provided little support in the creation of a climate of open communication, they are likely to be extremely frustrated that the reality of the situation does not meet their expectations. It is considerably better not to overpromise something that one knows in advance cannot be delivered.

A final concern regarding the use of management teams is that any type of collaborative arrangement makes great demands on people to learn how to work well in close, interpersonal relationships. Participative management teams require a good deal of ongoing give and take among the various members of the team. If this level of cooperation is not present or if team members are not comfortable with or skilled in the use of needed interpersonal skills, the end product of a management team could easily be a reduction of the level of communication present in the organization. The skills needed to function effectively in team situations are not easily acquired by many, and they are not necessarily an automatic outcome whenever management teams are created.

Management Teams: A Review. One last word that needs to be mentioned as summary review of the possible advantages and disadvantages of management teams is simply that such arrangements have absolutely no inherent good or bad features in themselves. The management team, after all, is but an organizational system involving (on a districtwide basis, at least) the superintendent and selected central office administrators, supervisors and, perhaps, some or all building principals of a district for the purposes of facilitating participative decision making. As such, "the team approach helps to eliminate the natural tendency for the top of the hierarchy to drift out of touch with the rest of the organization and the community" (Landers & Myers, 1977, p. 115). What differs from team to team, of course, is the way in which a particular group functions as a way to bring about the achievement of desirable team goals.

One significant factor impacting on the extent to which it is possible/probable that a team will/will not function effectively is related to the composition or membership of the team. What members of the organization should be included as regular team members? In the next section of this chapter, the issue of appropriate team composition will be addressed, particularly as it relates to the central concern of whether or not management teams hold much promise for the school district business manager.

Business Managers and Management Teams

Some of the basic assumptions related to the utilization of management teams as an approach to school governance have now been reviewed, along with a brief listing of some of the major strengths and weaknesses associated with the concept of teaming. Although a variety of advantages were noted, perhaps the single most frequently cited positive feature associated with the development of management teams in schools/school districts is that these types of administrative arrangements facilitate better decision making for organizations. There is a belief that increasing the opportunities available for people to have input to the decision-making process will automatically result in the enhancement of the quality of decisions. This, in turn, is described as good for the school because better decisions are assumed to lead to higher productivity.

As general principles, assumptions and considerations, it would be hard to argue with the notion that people should have a chance for greater participation in the governance of organizations in which they work. In recent years, however, we have started to understand that merely allowing widespread involvement in decision making can be a rather hollow activity. Opportunity for decision involvement is not necessarily a good idea in and of itself. Through the research of many people in recent years (Belasco & Alutto, 1972; Speed, 1979; Thierbach, 1980) we have come to realize more and more that the nature of involvement in decision making has as much or more to do with increased employee satisfaction and productivity then does simply the amount of involvement. It is, for example, generally held now that people can actually be too involved in decision making, a condition referred to as "decision saturation." This is particularly a problem when the decisions to be made deal with issues of little or no interest to participants. For example, school principals often try to encourage parents to be more involved with the decision-making process of their individual schools by asking the mothers and fathers to attend staff meetings and provide suggestions to teachers and administrators about school practices. The same principals have often been surprised to find that the parents in attendance usually do not return for a second meeting when they find that the topics being addressed by teachers—topics such as the development of learning objectives, for example—are not terribly exciting. Researchers have found that when the content of decisions is not relevant or interesting to people invited to participate in the process, there is likely to be a lot more unhappiness with decisions than when people are not asked to participate at all.

A good deal of this discussion concerning the merits of broad-based involvement in organizational decision making may appear to be a side-track into the world of theory. Actually, however, some understanding of decision-making theory is very relevant to any consideration of the use of management teams. Throughout this book a number of managerial techniques are reviewed so that school business managers might be able to decide which activities might be appropriate for their use as a way to improve practice. Management teams are but one such technique.

The essential idea to be considered is not whether management teams are a good idea, but rather, whether or not they are good ideas for school district business managers. What are the arguments in favor of involving business managers as members of management teams? What are the arguments against? There are reasonable views on both sides of this issue and they all need to be explored as one considers this managerial technique.

Arguments in Favor. The view that school district business managers should always be involved as regular members of districtwide management teams is based largely on a set of beliefs and assumptions that would support the reliance on teaming efforts in general. This view would hold simply that leadership roles in a school district should be brought together whenever possible to work cooperatively as a team. Again, the assumption underlying this belief is that the operation of school districts is such an incredibly complex task that no single person could possess all of the requisite expertise to do an effective job. As a result, the talents of many people must be drawn together in a way that allows the best and most creative views of a number of people to be heard. Simply stated, team management supports the belief that the more expertise that can be found and brought together to accomplish tasks and solve problems, the better.

The business manager is one of several people in a school district with specialized knowledge and skills that need to be tapped by the district on a regular basis to improve the quality of schools. As a result, there is a rather strong view that holds that the district business manager, along with everyone else responsible for a functional task area in the central office, must be a regular participant of the management team.

Another persuasive argument advanced on including business managers and other specialists as district team members is that the generalist school administrators need to have access to a good deal of very important but specialized information as decisions are made related to the district's educational program. The business manager can be a vital team member by reminding other team members that decisions regarding school operations must always be made in the context of the reality that most school districts are facing tremendous financial limitations. Does it not make a good deal of sense to include someone who has special expertise and awareness of the financial constraints so that all members can be made aware of the realistic limitations on their creativity?

A third supportive statement is that the business manager would profit from the ability to work on a regular basis and in a more meaningful way with colleagues who also hold important leadership roles for the district. The business manager is often viewed as the "money person in the back room" who is called upon only to review and approve purchase orders and make monthly reports on the financial status of the district to the school board. Perhaps the business manager is occasionally called upon to explain some unusual district expenditures, a complicated feature of accounting procedures or an aspect of the state's funding formula. When this happens, the manager may be appreciated for his or her expertise at the moment. Soon, however, he or she once again returns to the back room of the district office to look over the ledger books (or in most present systems, the spread sheet software for the microcomputer). Very few people seem to acknowledge the existence of the district business official until there is a special need or complaint. Consequently, there is a genuine need for the business manager to be a regular management team member. Including the business manager on the team enables him or her to develop an identity among colleagues not solely as a keeper of the bank books, but also as a competent professional with a real personality and a genuine sense of the district's needs. In many district offices, the business manager's office is even physically isolated from the offices of other district administrators. It is no wonder, then, that a benefit of the management team might be the interpersonal value of keeping all leaders together. Many benefits are felt by the district as well as invidivual team members when mutual respect and a sense of collegiality develops among the district staff.

As noted earlier in this chapter, additional advantages exist concerning the advisability of implementing management teams. Many of these noted strengths, including the fact that teams increase the validity of decisions, increase the sense of a positive and open organizational climate and enable administrators to meet collectively to balance and offset the power of teacher unions, may also be used as arguments specifically supportive of the notion that school business managers should always be included as members of management teams. All of these suggested benefits need to be considered in making a decision related to whether or not certain district wide leadership roles need be included on teams. Of particular concern, of course, is whether or not school business managers belong on teams.

In the next section, some arguments against the regular inclusion of business managers on school district management teams are offered.

Arguments Against. Perhaps the strongest single argument against the involvement of business managers on teams and other similar groups of administrators in school districts revolves around the view that business managers are simply not, for the most part, classified as school administrators. Although the policies and procedures differ considerably from state to state, it may be useful to illustrate this point with an example from one state in particular.

One concrete example of why business managers typically do not "fit in" on teams can be found in Ohio. In that state, the district business manager, or board treasurer, as this person is typically called, is legally solely an employee of the board of education. In fact, only two people in any Ohio school district are hired always directly by the board—the superintendent and the treasurer. The result is that the business manager occupies a place on the organizational line-staff chart of district equivalent to the superintendent. Thus, the business manager enjoys a unique status (or at least one that is uniquely vulnerable) because he or she has responsibility to answer directly only to the school board and, consequently, to the public-at-large. Not even the district superintendent enjoys line control and authority over the business manager. This notion, incidentally, owes its roots to the historical division of school district governance into two separate roles—the "educational leader" superintendent, and the "business leader" (Callahan, 1972). Such an arrangement makes it quite unlikely that business officials can be viewed as team members in the same group with officials who enjoy no special status in the district's organization.

Tied closely to this concern over the lack of equivalent status of the business manager as compared to other district administrators is the view that business managers are rarely certified by any state as school administrators. In fact, it is not unusual to find that the business manager of a particular district has little or no background in professional education, either as an administrator or teacher. In quite a few districts, business managers have been deliberately recruited from positions outside of education because of the belief that "good finance people come from private business," or the view that a lay person is a better guardian of public funds than the educators who have a vested interest in how the money is spent. Regardless of the rationale for the recruitment of noneducators, it does result in situations where school administrators and business managers come from two different worlds and speak two different languages—an arrangement that does not contribute to the formation of effective teams.

A third argument against business managers serving on management teams relates to the view that business officials do not have any real sensitivity toward the educational programs and priorities of a district which are the primary focus of the work of the administrators who serve as management team members. This line of reasoning would hold that the major value of the school district's business manager's input to the district planning and decision-making processes would be to indicate the financial feasibility of carrying out the goals of the other administrators. Because the business manager is not typically a professional educator *per se*, he or she must be absolutely kept out of situations where it is possible to approve or disapprove of the merits of a substantive issue. The attitude here might well be characterized as one of, "We (administrators) will decide what we are going to do; you (business manager) just figure out how to pay for it all."

Finally, the many negatives and weaknesses noted earlier about management teams in general also relate to the desirability of including business managers as members. For example, it was noted that management teams are never any stronger than is the true level of commitment of the superintendent and the school board to the concept of participative management and shared decision making. If there is only lip service support for the value of teams, the teams will be empty exercises. It is also true that if a business manager is not personally committed to sharing with others, his or her presence on a team will more often than not be a dysfunctional presence. It was also noted that participation on teams is a time-consuming process, particularly if the team consists of many people and a consensus decision-making process is always used. The business manager must then decide if periodic gathering with his or her colleagues is truly a wise investment of time. This is a particularly relevant concern if the content of decisions made by the team is usually something of little or no interest to the business official.

In all cases, the choice of whether a business manager shall be involved as a team member is based on two considerations. First, the individual manager must decide if the team is worth the trouble and bother. Second, district leaders who decide which administrators to include as team members—if teams are used at all—must balance the pros and cons of including school district business managers as regular team members. Something that cannot be overlooked, however, is that one should strive not to lose any potential benefits of teaming if that particular organizational arrangement is not used.

Alternatives to Teaming

The last question that needs to be addressed is fairly logical. If team management has a number of benefits, but if it also appears that the addition of school district business managers on teams does not appear to be a good idea in a particular situation, what ways can be used to capture the benefits of teaming without actually using that approach?

There are some suggestions for ways of getting some of the best features of teaming without necessarily utilizing this managerial technique in a particular school district.

1) Make certain that when district administrators are considering issues that have either direct or indirect financial implications, the business manager must at least be consulted so that all parties understand his or her concerns and point of view. Note that this principle can be followed regardless of whether the district makes use of a management team approach.

2) Take care to prevent the business manager, or any other district official for that matter, from being isolated from the mainstream of activity. It makes little difference what the line-staff chart shows; the business manager needs to have an opportunity for personal contact with other workers.

3) If there is a desire to make use of participative management practices, examine the procedures to be used to make sure that the appropriate people are involved in making decisions truly relevant to them. Shared decision making should not be used as a "game" just to make people feel as if they are important. In this regard, some administrators have actually devised decision analysis grids to indicate who in the organization should be involved in making what decisions at what point. Although this may not be a perfect system, using a grid may be a useful way to ensure that the participative process is most effective.

4) Review the types of teams described earlier to see if the right ones are used in a particular district. For example, the type of team that may be most appropriate for involving the business manager may not be the fixed "line" or "staff team," but rather an *ad hoc* team that requires the manager's involvement only in cases of specific concern.

5) Examine periodically the value of maintaining existing participative management teams. Are these arrangements still accomplishing the goals they were designed to address or have they become charades that mask unilateral decisions? If there is no consistent value in the management team, one should consider the advisability of continuing it, at least in its present form.

Summary—In this chapter, a brief overview of the major characteristics of teaming as a managerial technique for educational administrators was presented. A particular focus was the issue of whether school district business managers should ordinarily be involved as team members if this managerial technique is employed by a district.

The chapter began with an examination of basic features of teams such as alternative types and some of the assumptions that initially lead to the implementation of teams. Strengths and weaknesses frequently associated with management teams were then listed. The next chapter section reviewed directly the issue of the inclusion of school business officials as management team members. Although it was emphasized that different local conditions and individual preferences would be the major determinants of policy for a district, some pros and cons generally attributed to business officials' participation on teams were indicated. The chapter concluded with some suggestions of how to make use of the best features of teams even if the technique is not fully implemented in a district.

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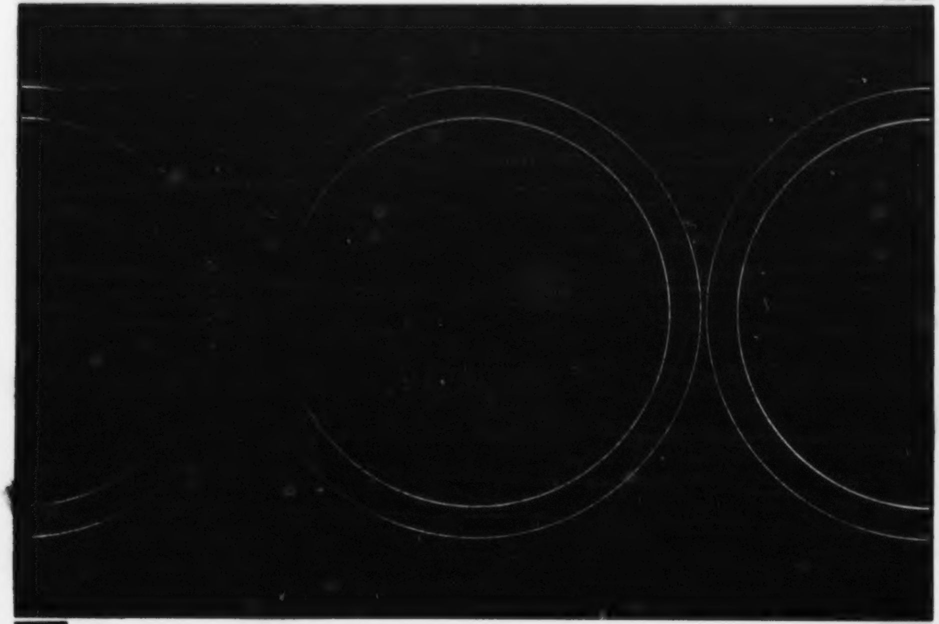

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